

***Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571***

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*June 1, 2021 - June 30, 2021*

PAGE 1 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

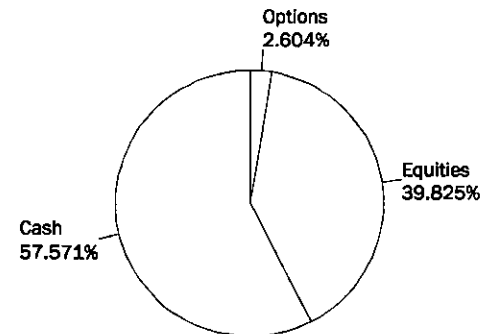
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

► ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$21,387.92	\$31,280.64
NET ACCOUNT BALANCE	21,387.92	31,280.64
Securities	12,212.50	23,053.30
TOTAL PRICED PORTFOLIO	12,212.50	23,053.30
<b>Total Equity Holdings</b>	<b>\$33,600.42</b>	<b>\$54,333.94</b>

► PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*June 1, 2021 - June 30, 2021*

PAGE 2 OF 22

ACCOUNT NUMBER **SMU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC EXP 01/21/2022	8NSRMD4	M	10	\$1.665	\$1,665.00		N/A		3.036%
APTEVO THERAPEUTICS INC COMMON STOCK	APVO	M	510	22.43	11,439.30		N/A		20.862
ALSET EHOME INTERNATIONAL INC COMMON STOCK	AEI	M	600	5.68	3,408.00		N/A		6.215
IDEANOMICS INC COMMON STOCK	IDEX	M	1,600	2.84	4,544.00		N/A		8.287
CALL IDEX 07/16/21 3.50 IDEANOMICS INC EXP 07/16/2021	9PKRLY7	M	-20	0.125	-250.00		N/A		.456
META MATLS INC COMMON STOCK	MMAT	M	300	7.49	2,247.00		N/A		4.098
<b>Total Equities</b>					<b>\$21,638.30</b>				<b>39.462%</b>
<b>Total Options</b>					<b>\$1,415.00</b>				<b>3.492%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$31,280.64</b>				<b>57.046%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$54,333.94</b>				

I N D I V I D U A L A C C O U N T



*June 1, 2021 - June 30, 2021*

PAGE 3 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	06/01/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	\$24.86	\$2,486.00	
BOUGHT	06/01/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	2,000	0.66	1,320.00	
BOUGHT	06/01/21	M	PUT SPY 05/28/21 420 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PSGGN0	10	0.50	500.80	
SOLD	06/01/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	2,000	0.665		1,329.75
SOLD	06/01/21	M	PUT SPY 05/28/21 420 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PSGGN0	10	0.40		399.17
BOUGHT	06/02/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	50	25.87	1,293.50	
BOUGHT	06/02/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	250	0.6459	161.48	
BOUGHT	06/02/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	250	0.637	159.25	
BOUGHT	06/02/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	500	0.63	315.00	

I N D I V I D U A L A C C O U N T

*June 1, 2021 - June 30, 2021*

PAGE 4 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/02/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	0.655	655.00	
BOUGHT	06/03/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	5,000	2.58	12,900.00	
SOLD	06/03/21	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	2,000	0.675		1,349.75
SOLD	06/03/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	5,000	2.565208		12,825.37
BOUGHT	06/04/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	26.40	528.00	
BOUGHT	06/04/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	200	2.7981	559.62	
BOUGHT	06/04/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	2.64	660.00	
BOUGHT	06/04/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	300	2.71	813.00	
BOUGHT	06/04/21	M	CALL AAPL 07/16/21 125 APPLE INC OPEN CONTRACT Security Number: 8GQLKJ6	2	3.20	640.16	

I N D I V I D U A L A C C O U N T

*June 1, 2021 - June 30, 2021*

PAGE 6 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/04/21	M	CALL AAPL 07/16/21 125 APPLE INC CLOSING CONTRACT Security Number: 8GQLKJ6	2	3.26		651.82
BOUGHT	06/07/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	26.08	260.80	
BOUGHT	06/07/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	26.30	526.00	
BOUGHT	06/07/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	25	2.645	66.13	
BOUGHT	06/07/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	225	2.645	595.13	
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	1	0.07		6.91
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	1	0.05		4.91
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	3	0.05		14.75

*June 1, 2021 - June 30, 2021*

PAGE 6 OF 22

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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	4	0.05		19.66
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	10	0.05		49.17
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	2	0.05		9.82
SOLD	06/07/21	M	PUT PIRS 06/18/21 2.50 PIERIS PHARMACEUTICALS INC CLOSING CONTRACT Security Number: 8KSFPN1	4	0.05		19.66
BOUGHT	06/08/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	24.97	499.40	
BOUGHT	06/08/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	26.05	521.00	
BOUGHT	06/08/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	25.44	508.80	
BOUGHT	06/08/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	2.669	667.25	

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*June 1, 2021 - June 30, 2021*

PAGE 7 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/11/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	40	26.08	1,043.20	
BOUGHT	06/11/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	3.16	790.00	
BOUGHT	06/11/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	3.08	770.00	
BOUGHT	06/11/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	3.23	807.50	
BOUGHT	06/11/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	3.20	800.00	
BOUGHT	06/11/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	250	3.21	802.50	
BOUGHT	06/14/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	25.66	256.60	
BOUGHT	06/14/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	100	2.9586	295.86	
BOUGHT	06/14/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	100	3.0774	307.74	
BOUGHT	06/14/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	100	2.9292	292.92	

*June 1, 2021 - June 30, 2021*

PAGE 8 OF 22

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/14/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	200	2.93	586.00	
BOUGHT	06/15/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	100	10.01	1,001.00	
BOUGHT	06/15/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	100	2.9489	294.89	
BOUGHT	06/16/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	25.88	517.60	
BOUGHT	06/16/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	25.90	518.00	
BOUGHT	06/16/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	1	2.67	267.05	
BOUGHT	06/16/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	4	2.69	1,076.22	
SOLD	06/16/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	100	11.20		1,119.98
BOUGHT	06/17/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	50	29.51	1,475.50	

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*June 1, 2021 - June 30, 2021*

PAGE 9 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/17/21	M	PUT AAPL 06/18/21 128 APPLE INC OPEN CONTRACT Security Number: 8NYFVD6	10	0.24	240.55	
SOLD	06/17/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	8,100	5.77		46,735.80
SOLD	06/17/21	M	PUT AAPL 06/18/21 128 APPLE INC CLOSING CONTRACT Security Number: 8NYFVD6	10	0.29		289.44
BOUGHT	06/18/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	1	1.32	132.05	
BOUGHT	06/18/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	2	1.29	258.11	
BOUGHT	06/18/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	2	1.26	252.11	
BOUGHT	06/18/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	2	1.13	226.11	



*June 1, 2021 - June 30, 2021*

PAGE 10 OF 22

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/18/21	M	PUT QQQ 06/18/21 345 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8KZDMY3	1	1.19	119.05	
SOLD	06/18/21	M	PUT QQQ 06/18/21 345 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8KZDMY3	1	1.41		140.93
BOUGHT	06/21/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	50	16.55	827.50	
BOUGHT	06/21/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	50	16.11	805.50	
BOUGHT	06/21/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	100	16.19	1,619.00	
BOUGHT	06/21/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	500	5.40	2,700.00	
BOUGHT	06/21/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	3	0.95	285.16	
BOUGHT	06/21/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP OPEN CONTRACT Security Number: 8CTKJX5	5	0.90	450.27	

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*June 1, 2021 - June 30, 2021*

PAGE 11 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/21/21	M	ORPHAZYME A S AMERICAN DEPOSITARY SHARES CUSIP: 687305102	200	13.40		2,679.96
SOLD	06/21/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	500	5.25		2,624.92
BOUGHT	06/22/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	27.88	278.80	
BOUGHT	06/22/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	40	27	1,080.00	
BOUGHT	06/23/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	50	26	1,300.00	
BOUGHT	06/23/21	M	CALL AAPL 06/25/21 134 APPLE INC OPEN CONTRACT Security Number: 8NHTBW1	10	0.61	610.55	
SOLD	06/23/21	M	CALL CCL 07/16/21 30 CARNIVAL CORP CLOSING CONTRACT Security Number: 8CTKJX5	15	0.64		959.14
SOLD	06/23/21	M	CALL AAPL 06/25/21 134 APPLE INC CLOSING CONTRACT Security Number: 8NHTBW1	10	0.47		469.42
BOUGHT	06/25/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	23.31	233.10	

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*June 1, 2021 - June 30, 2021*

PAGE 12 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/25/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	3.17	634.00	
BOUGHT	06/25/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	300	3.18	954.00	
BOUGHT	06/25/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	500	3.17	1,585.00	
BOUGHT	06/28/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	100	3.12	312.00	
BOUGHT	06/28/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	3.055	611.00	
BOUGHT	06/28/21	M	CALL SCHN 07/16/21 60 SCHNITZER STEEL INDUSTRIES INC OPEN CONTRACT Security Number: 8NGZSJ5	3	0.35	105.16	
BOUGHT	06/28/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	1	2.07	207.05	
SOLD	06/28/21	M	CALL IDEX 07/16/21 3.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY7	2	0.24		47.87

*June 1, 2021 - June 30, 2021*

PAGE 13 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/28/21	M	CALL IDEX 07/16/21 3.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY7	1	0.25		24.93
SOLD	06/28/21	M	CALL IDEX 07/16/21 3.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY7	13	0.26		337.25
BOUGHT	06/28/21	S	E HOME HOUSEHOLD SERVICE HOLDINGS LIMITED ORDINARY SHARES COVER SHORT. CUSIP: G2952X104	10	27.91	279.10	
SOLD	06/28/21	S	E HOME HOUSEHOLD SERVICE HOLDINGS LIMITED ORDINARY SHARES SHORT. CUSIP: G2952X104	10	27.12		271.18
BOUGHT	06/29/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	100	3.09	309.00	
BOUGHT	06/29/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	3.09	618.00	
BOUGHT	06/29/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	97	4.75	460.75	
BOUGHT	06/29/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	500	4.78	2,390.00	

*June 1, 2021 - June 30, 2021*

PAGE 14 OF 22

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/29/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	1.83	366.11	
BOUGHT	06/29/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	1.69	338.11	
SOLD	06/29/21	M	TORCHLIGHT ENERGY RESOURCES INC CUSIP: 89102U103	97	4.849691		470.40
BOUGHT	06/30/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	6.05	605.00	
BOUGHT	06/30/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	500	5.97	2,985.00	
BOUGHT	06/30/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	50	7.95	397.50	
SOLD	06/30/21	M	CALL SCHN 07/16/21 60 SCHNITZER STEEL INDUSTRIES INC CLOSING CONTRACT Security Number: 8NGZSJ5	3	0.30		89.82
SOLD	06/30/21	M	CALL IDEX 07/16/21 3.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY7	4	0.16		63.76
<b>Total Buy / Sell Transactions</b>						<b>\$63,113.54</b>	<b>\$73,005.54</b>

June 1, 2021 - June 30, 2021

PAGE 16 OF 22

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
<b>MISCELLANEOUS TRANSACTIONS</b>							
REV SPLIT	06/25/21	M	META MATLS INC COM RESULT OF REVERSE SPLIT CUSIP: 59134N104	250			
REV SPLIT	06/25/21	M	TORCHLIGHT ENERGY RESOURCES INC REVERSE SPLIT @ 1:2 INTO 59134N104 CUSIP: 89102U103	-500			
CSH	06/29/21	C	XFER CASH TO MARGIN			0.72	
MKT	06/29/21	M	MARK TO MARKET			7.92	
JOURNAL	06/29/21	C	CCF REBATE				0.72
CSH	06/29/21	M	XFER MARGIN TO CASH				0.72
MKT	06/29/21	S	MARK TO MARKET SHORT POS				7.92
<b>Total Miscellaneous Transactions</b>						<b>\$8.64</b>	<b>\$9.36</b>

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	06/29/21	07/01/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	6	\$600.00	

*June 1, 2021 - June 30, 2021*

PAGE 18 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ EXECUTED TRADES PENDING SETTLEMENT (CONTINUED)

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	06/29/21	07/01/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	400	3.07	1,228.00	
BOUGHT	06/29/21	07/01/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	7.2082	720.82	
SOLD	06/30/21	07/01/21	M	CALL MMAT 07/16/21 9 META MATLS INC OPEN CONTRACT Security Number: 9NYNDR6	-4	1.15		459.76
SOLD	06/30/21	07/01/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	-2	0.22		43.87
SOLD	06/30/21	07/01/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	-3	0.20		59.82
BOUGHT	06/30/21	07/02/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.86	586.00	
BOUGHT	06/30/21	07/02/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	200	5.62	1,124.00	
BOUGHT	06/30/21	07/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	2.87	574.00	

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*June 1, 2021 - June 30, 2021*

PAGE 17 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**

## ► EXECUTED TRADES PENDING SETTLEMENT (CONTINUED)

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	06/30/21	07/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	300	2.82	846.00	
<b>Total Executed Trades Pending Settlement</b>							<b>\$5,678.82</b>	<b>\$563.45</b>

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*June 1, 2021 - June 30, 2021*

PAGE 18 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation In Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

*June 1, 2021 - June 30, 2021*

PAGE 19 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION**

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

*June 1, 2021 - June 30, 2021*

PAGE 20 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 431.1 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*June 1, 2021 - June 30, 2021*

PAGE 21 OF 22

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*June 1, 2021 - June 30, 2021*

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

PAGE 22 OF 22

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*July 1, 2021 - July 31, 2021*

PAGE 1 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

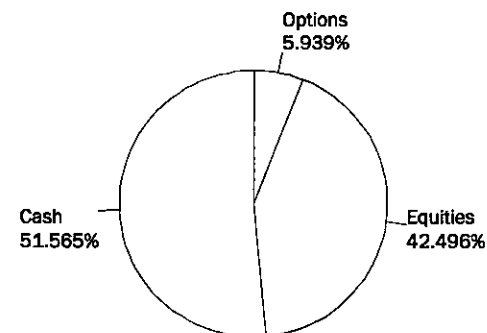
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$31,280.64	\$24,449.04
NET ACCOUNT BALANCE	31,280.64	24,449.04
Securities	23,053.30	22,964.90
TOTAL PRICED PORTFOLIO	23,053.30	22,964.90
<b>Total Equity Holdings</b>	<b>\$54,333.94</b>	<b>\$47,413.94</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC



**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, (including a maximum of \$250,000 for cash claims). For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional Insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held. If available from quotation services. The rate is multiplied by the number of shares or per value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 30 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*July 1, 2021 - July 31, 2021*

PAGE 2 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
APTEVO THERAPEUTICS INC COMMON STOCK	APVO	M	570	\$18.77	\$10,698.90	\$11,439.30	-6%		22.565%
META MATLS INC COMMON STOCK	MMAT	M	2,700	3.50	9,450.00	2,247.00	321		19.931
CALL MMAT 01/21/22 5 META MATLS INC EXP 01/21/2022	8NYNFH9	M	10	1.07	1,070.00		N/A		2.257
CALL MMAT 08/20/21 5 META MATLS INC EXP 08/20/2021	8NYNDX3	M	6	0.25	150.00		N/A		.316
CALL GLD 01/21/22 185 SPDR GOLD TR EXP 01/21/2022	8BTLBQ0	M	6	2.66	1,596.00		N/A		3.366
<b>Total Equities</b>					<b>\$20,148.90</b>				<b>42.496%</b>
<b>Total Options</b>					<b>\$2,816.00</b>				<b>5.939%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$24,449.04</b>				<b>51.565%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$47,413.94</b>				

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

PAGE 3 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	07/01/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	6	\$600.00	
BOUGHT	07/01/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	400	3.07	1,228.00	
BOUGHT	07/01/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	7.2082	720.82	
SOLD	07/01/21	M	CALL MMAT 07/16/21 9 META MATLS INC OPEN CONTRACT Security Number: 9NYNDR6	4	1.15		459.76
SOLD	07/01/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	2	0.22		43.87
SOLD	07/01/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	3	0.20		59.82
BOUGHT	07/02/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.86	586.00	
BOUGHT	07/02/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	200	5.62	1,124.00	
BOUGHT	07/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	2.87	574.00	

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

PAGE 4 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	300	2.82	846.00	
SOLD	07/02/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	4	0.15		59.76
BOUGHT	07/06/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	40	21.88	875.20	
BOUGHT	07/06/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.53	553.00	
BOUGHT	07/06/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.35	535.00	
BOUGHT	07/06/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.68	568.00	
BOUGHT	07/06/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	400	2.7495	1,099.80	
BOUGHT	07/06/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	1.65	330.11	
BOUGHT	07/06/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	3	1.65	495.16	

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

PAGE 5 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	07/06/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	1	0.12		11.93
BOUGHT	07/07/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	5.21	521.00	
BOUGHT	07/07/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	100	2.69	269.00	
BOUGHT	07/07/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	1	1.50	150.05	
BOUGHT	07/08/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	1.29	258.11	
BOUGHT	07/08/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	1.29	258.11	
SOLD	07/08/21	M	CALL IDEX 07/16/21 2.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9GBVBF4	2	0.14		27.87
SOLD	07/08/21	M	CALL MMAT 07/16/21 6 META MATLS INC OPEN CONTRACT Security Number: 9NYNDQ9	1	0.60		59.93

July 1, 2021 - July 31, 2021

PAGE 6 OF 18

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/09/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	100	4.92	492.00	
BOUGHT	07/09/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	200	2.48	496.00	
BOUGHT	07/09/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	5.92	592.00	
BOUGHT	07/09/21	M	CALL MMAT 07/16/21 6 META MATLS INC CLOSING CONTRACT Security Number: 9NYNDQ9	1	0.65	65.05	
BOUGHT	07/09/21	M	CALL MMAT 07/16/21 9 META MATLS INC CLOSING CONTRACT Security Number: 9NYNDR6	4	0.19	76.22	
BOUGHT	07/09/21	M	CALL IDEX 07/16/21 3.50 IDEANOMICS INC CLOSING CONTRACT Security Number: 9PKRLY7	20	0.04	81.09	
SOLD	07/09/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC OPEN CONTRACT Security Number: 9PKRLY5	20	0.05		98.86
BOUGHT	07/12/21	M	CALL BAC 07/23/21 41 BANK OF AMERICA CORP OPEN CONTRACT Security Number: 8NXPMG0	10	0.58	580.55	

*July 1, 2021 - July 31, 2021*

PAGE 7 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.85	485.00	
BOUGHT	07/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	5.1083	510.83	
BOUGHT	07/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.85	485.00	
BOUGHT	07/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	5.335	533.50	
BOUGHT	07/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.99	499.00	
BOUGHT	07/13/21	M	CALL IDEX 07/16/21 3 IDEANOMICS INC CLOSING CONTRACT Security Number: 9PKRLY5	30	0.03	91.64	
SOLD	07/13/21	M	CALL BAC 07/23/21 41 BANK OF AMERICA CORP CLOSING CONTRACT Security Number: 8NXPMGO	10	0.69		689.44
SOLD	07/13/21	M	CALL IDEX 07/16/21 2.50 IDEANOMICS INC OPEN CONTRACT Security Number: 9GBVBF4	30	0.11		328.35
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.5259	452.59	

I N D I V I D U A L A C C O U N T



*July 1, 2021 - July 31, 2021*

PAGE 8 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.96	396.00	
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.04	404.00	
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.9962	399.62	
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.3279	432.79	
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.94	394.00	
BOUGHT	07/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	4.049	404.90	
SOLD	07/14/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	625	5.77		3,606.16
SOLD	07/14/21	M	ALSET EHOME INTERNATIONAL INC COMMON STOCK CUSIP: 02116A104	875	5.758491		5,038.55
BOUGHT	07/15/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	20	200.00	
BOUGHT	07/15/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	19.945	199.45	

*July 1, 2021 - July 31, 2021*

PAGE 9 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/15/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.675	367.50	
BOUGHT	07/15/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	3	1.35	405.16	
SOLD	07/15/21	M	CALL MMAT 01/21/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFH9	3	1.70		509.82
BOUGHT	07/16/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	3.23	323.05	
BOUGHT	07/16/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	3.25	325.05	
BOUGHT	07/16/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	3.35	335.05	
BOUGHT	07/16/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	3	3.25	975.16	

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*July 1, 2021 - July 31, 2021*

PAGE 10 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/16/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.45	145.05	
BOUGHT	07/16/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.55	155.05	
BOUGHT	07/16/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.40	140.05	
BOUGHT	07/16/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.60	160.05	
BOUGHT	07/19/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.30	130.05	
BOUGHT	07/19/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.29	129.05	
BOUGHT	07/20/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	2	0.83	166.11	

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

PAGE 11 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/20/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	4	0.81	324.22	
BOUGHT	07/20/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8NSRMD4	4	0.83	332.22	
BOUGHT	07/21/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNDX3	5	0.35	175.27	
BOUGHT	07/21/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNDX3	1	0.30	30.05	
BOUGHT	07/21/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	1	1.05	105.05	
BOUGHT	07/22/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.2282	322.82	
BOUGHT	07/22/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.22	322.00	
SOLD	07/22/21	M	CALL AAL 01/21/22 25 AMERICAN AIRLINES GROUP INC CLOSING CONTRACT Security Number: 8NSRMD4	30	1.40		4,198.27

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*July 1, 2021 - July 31, 2021*

PAGE 12 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	07/22/21	M	CALL MMAT 08/20/21 5 META MATLS INC CLOSING CONTRACT Security Number: 8NYNDX3	6	0.57		341.65
BOUGHT	07/23/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNDX3	1	0.40	40.05	
BOUGHT	07/23/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNDX3	5	0.45	225.27	
BOUGHT	07/23/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	3	1.15	345.16	
SOLD	07/23/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	3,200	2.605		8,335.57
BOUGHT	07/26/21	M	CHEMBIO DIAGNOSTICS INC CUSIP: 163572209	200	4.8797	975.94	
BOUGHT	07/26/21	M	CARVER BANCORP INC CUSIP: 146875604	100	16.71	1,671.00	
BOUGHT	07/26/21	M	CARVER BANCORP INC CUSIP: 146875604	100	16.74	1,674.00	
BOUGHT	07/26/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.45	345.00	

I N D I V I D U A L A C C O U N T

PAGE 13 OF 18

CHRISTOPHER COX



**44 Wall Street, New York, NY 10005**  
**customerservice@webull.us**

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	07/26/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	3.45	1,380.00	
SOLD	07/26/21	M	CHEMBIO DIAGNOSTICS INC CUSIP: 163572209	200	4.845		968.97
SOLD	07/27/21	M	CARVER BANCORP INC CUSIP: 146875604	200	17.02		3,403.96
BOUGHT	07/28/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	3.4356	687.12	
<b>Total Buy / Sell Transactions</b>						<b>\$32,574.14</b>	<b>\$28,242.54</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	07/19/21	M	ACH DISBURSEMENT SEN(20210717053079)			\$2,500.00	
<b>Total Funds Paid And Received</b>						<b>\$2,500.00</b>	
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	07/16/21	M	CALL IDEX 07/16/21 2.50 IDEANOMICS INC OPTION EXPIRATION - EXPIRED Security Number: 9GBVBF4	32			
<b>Total Miscellaneous Transactions</b>							

*July 1, 2021 - July 31, 2021*

PAGE 14 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

*July 1, 2021 - July 31, 2021*

PAGE 16 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011

- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:

- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION**

**APEX CLEARING CORPORATION DISCLOSURE STATEMENT**



*July 1, 2021 - July 31, 2021*

PAGE 16 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

PAGE 17 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

I N D I V I D U A L A C C O U N T

*July 1, 2021 - July 31, 2021*

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PAGE 18 OF 18

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*August 1, 2021 - August 31, 2021*

PAGE 1 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

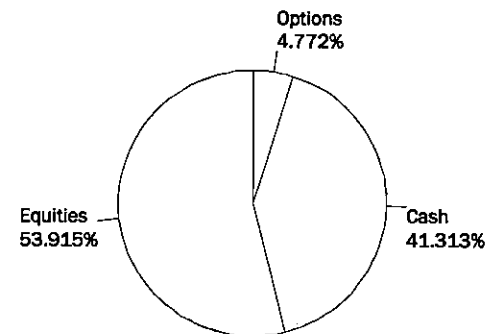
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$24,449.04	\$22,709.65
NET ACCOUNT BALANCE	24,449.04	22,709.65
Securities	22,964.90	27,013.81
TOTAL PRICED PORTFOLIO	22,964.90	27,013.81
<b>Total Equity Holdings</b>	<b>\$47,413.94</b>	<b>\$49,723.46</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selected form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates, particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received. If later, Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*August 1, 2021 - August 31, 2021*

PAGE 2 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
APTEVO THERAPEUTICS INC COMMON STOCK	APVO	M	640	\$17.95	\$11,488.00	\$10,698.90	7%		20.899%
META MATLS INC COMMON STOCK	MMAT	M	3,903	4.65	18,148.95	9,450.00	92		33.016
CALL MMAT 09/17/21 5 META MATLS INC EXP 09/17/2021	9KBFDR3	M	-39	0.673	-2,623.14	1,070.00	-345		4.772
<b>Total Equities</b>					<b>\$29,636.95</b>				<b>53.915%</b>
<b>Total Options</b>					<b>\$-2,623.14</b>				<b>4.772%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$22,709.65</b>				<b>41.313%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$49,723.46</b>				

► **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	08/06/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	300	\$3.0599	\$917.97	
BOUGHT	08/09/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	1.75	175.05	

*August 1, 2021 - August 31, 2021*

PAGE 3 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	08/09/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	1.75	175.05	
BOUGHT	08/09/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	2	1.75	350.11	
BOUGHT	08/11/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	1	1.36	136.05	
BOUGHT	08/11/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8BTLBQ0	4	1.36	544.21	
BOUGHT	08/12/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNDX3	4	0.14	56.21	
BOUGHT	08/12/21	M	CALL MMAT 01/21/22 5 META MATLS INC OPEN CONTRACT Security Number: 8NYNFH9	5	0.95	475.27	
BOUGHT	08/13/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	30	17.36	520.80	
BOUGHT	08/16/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	16.59	165.90	

*August 1, 2021 - August 31, 2021*

PAGE 4 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	08/16/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107	50	7.58	379.00	
BOUGHT	08/16/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107	100	7.68	768.00	
BOUGHT	08/16/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107	200	7.83	1,566.00	
BOUGHT	08/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.47	347.00	
BOUGHT	08/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.3984	339.84	
BOUGHT	08/17/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.26	326.00	
SOLD	08/17/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107	100	7.08		707.98
SOLD	08/17/21	M	CONTEXTLOGIC INC CLASS A COMMON STOCK CUSIP: 21077C107	250	7.08		1,769.96
BOUGHT	08/19/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	2.92	584.00	
BOUGHT	08/20/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.815	281.50	

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*August 1, 2021 - August 31, 2021*

PAGE 5 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	08/20/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.805	280.50	
BOUGHT	08/20/21	M	PUT JPM 08/20/21 150 JPMORGAN CHASE & CO OPEN CONTRACT Security Number: 8GKWJVO	5	0.20	100.27	
SOLD	08/23/21	M	PUT JPM 08/20/21 150 JPMORGAN CHASE & CO CLOSING CONTRACT Security Number: 8GKWJVO	2	0.14		27.87
SOLD	08/23/21	M	PUT JPM 08/20/21 150 JPMORGAN CHASE & CO CLOSING CONTRACT Security Number: 8GKWJVO	3	0.10		29.82
BOUGHT	08/24/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	17.15	171.50	
BOUGHT	08/24/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	17.10	171.00	
SOLD	08/24/21	M	CALL GLD 01/21/22 185 SPDR GOLD TR CLOSING CONTRACT Security Number: 8BTLBQ0	15	2.10		3,149.15
SOLD	08/24/21	M	CALL MMAT 01/21/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFH9	1	0.60		59.93

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*August 1, 2021 - August 31, 2021*

PAGE 6 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	08/25/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	30	3.015	90.45	
BOUGHT	08/26/21	M	TAKUNG ART CO LTD COM CUSIP: 87407Q207	100	7.83	783.00	
SOLD	08/26/21	M	TAKUNG ART CO LTD COM CUSIP: 87407Q207	100	7.85		784.98
BOUGHT	08/27/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	17.05	170.50	
SOLD	08/27/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	37	0.10		367.96
SOLD	08/27/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	1	0.10		9.93
BOUGHT	08/30/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	108	3.49	376.92	
SOLD	08/30/21	M	CALL MMAT 01/21/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFH9	14	1.30		1,819.22

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*August 1, 2021 - August 31, 2021*

PAGE 7 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	08/30/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	1	0.10		9.93
BOUGHT	08/31/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	3	3.5799	10.74	
BOUGHT	08/31/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	62	3.44	213.28	
<b>Total Buy / Sell Transactions</b>						<b>\$10,476.12</b>	<b>\$8,736.73</b>
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	08/20/21	M	CALL MMAT 08/20/21 5 META MATLS INC OPTION EXPIRATION - EXPIRED Security Number: 8NYNDX3	-10			
<b>Total Miscellaneous Transactions</b>							

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*August 1, 2021 - August 31, 2021*

PAGE 8 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Audited Statement of Financial Condition as of December 31, 2020 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of December 31, 2020, Apex Clearing Corporation had a net capital of \$221,754,625 and was \$190,963,611 in excess of its required net capital of \$30,791,014. As of January 31, 2021, Apex Clearing Corporation had a net capital of \$316,877,867 and was \$269,611,762 in excess of its required net capital of \$47,266,105.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we

August 1, 2021 - August 31, 2021

PAGE 9 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION**

APEX CLEARING CORPORATION DISCLOSURE STATEMENT

*August 1, 2021 - August 31, 2021*

PAGE 10 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*August 1, 2021 - August 31, 2021*

PAGE 11 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*August 1, 2021 - August 31, 2021*

PAGE 12 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**  
44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)



APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*September 1, 2021 - September 30, 2021*

PAGE 1 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

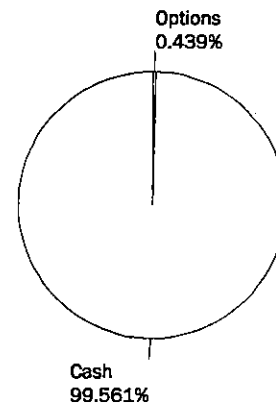
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$22,709.65	\$46,842.44
NET ACCOUNT BALANCE	22,709.65	46,842.44
Securities	27,013.81	-206.32
TOTAL PRICED PORTFOLIO	27,013.81	-206.32
<b>Total Equity Holdings</b>	<b>\$49,723.46</b>	<b>\$46,636.12</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income as used during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUES:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*September 1, 2021 - September 30, 2021*

PAGE 2 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CALL MMAT 10/15/21 7 META MATLS INC EXP 10/15/2021	9NYNFC9	M	-10	\$0.275	\$-275.00	\$-2,623.14	90%		.583%
CALL OCGN 10/15/21 10 OCUGEN INC EXP 10/15/2021	8GJLVP5	M	2	0.344	68.68		N/A		.146
<b>Total Equities</b>									
<b>Total Options</b>					<b>\$-206.32</b>				<b>0.728%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$46,842.44</b>				<b>99.272%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$46,636.12</b>				

▶ **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	09/02/21	M	CALL SPY 09/03/21 453 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PXVJZ9	5	\$1.06	\$530.26	
BOUGHT	09/02/21	M	PUT SPY 09/03/21 450 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PYJPC8	2	0.78	156.10	

*September 1, 2021 - September 30, 2021*

PAGE 3 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/02/21	M	CALL SPY 09/03/21 453 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PXVJZ9	5	1.05		524.72
SOLD	09/02/21	M	PUT SPY 09/03/21 450 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PYJPC8	2	0.70		139.88
SOLD	09/03/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	1	0.85		84.93
BOUGHT	09/07/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	5.085	508.50	
SOLD	09/07/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	3	5.215		15.63
BOUGHT	09/08/21	M	PUT UPST 09/10/21 250 UPSTART HOLDINGS INC OPEN CONTRACT Security Number: 8SBXYN6	2	3.70	740.10	
SOLD	09/08/21	M	PUT UPST 09/10/21 250 UPSTART HOLDINGS INC CLOSING CONTRACT Security Number: 8SBXYN6	2	3.20		639.88
BOUGHT	09/09/21	M	ELYS GAME TECHNOLOGY CORP COMMON STOCK CUSIP: 290734102	500	5.28	2,640.00	

I N D I V I D U A L A C C O U N T

*September 1, 2021 - September 30, 2021*

PAGE 4 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/09/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	5	0.71		354.72
SOLD	09/09/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	1	0.60		59.93
BOUGHT	09/10/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	5.0799	507.99	
BOUGHT	09/10/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.23	2,615.00	
SOLD	09/10/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	30	17.373333		521.18
SOLD	09/10/21	M	ELYS GAME TECHNOLOGY CORP COMMON STOCK CUSIP: 290734102	25	5.32		132.98
SOLD	09/10/21	M	ELYS GAME TECHNOLOGY CORP COMMON STOCK CUSIP: 290734102	475	5.31		2,522.17
BOUGHT	09/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	350	5.3399	1,868.97	
SOLD	09/14/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	110	17.17		1,888.68

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*September 1, 2021 - September 30, 2021*

PAGE 5 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/14/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	2	0.52		103.88
SOLD	09/14/21	M	CALL MMAT 09/17/21 6 META MATLS INC OPEN CONTRACT Security Number: 9KBFD8	2	0.16		31.88
BOUGHT	09/15/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	50	5.3199	266.00	
BOUGHT	09/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	5.1599	2,063.96	
SOLD	09/16/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	16.95		1,694.98
SOLD	09/16/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	3	0.24		71.82
SOLD	09/16/21	M	CALL MMAT 09/17/21 6 META MATLS INC OPEN CONTRACT Security Number: 9KBFD8	4	0.10		39.77
BOUGHT	09/17/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	300	4.918	1,475.40	

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*September 1, 2021 - September 30, 2021*

PAGE 6 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/17/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	3	0.12		35.82
BOUGHT	09/20/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	300	4.8592	1,457.76	
BOUGHT	09/20/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	340	5.055	1,718.70	
BOUGHT	09/20/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	680	5.08	3,454.40	
SOLD	09/20/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	17		1,699.98
SOLD	09/20/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	17.15		1,714.98
SOLD	09/20/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	17.1852		1,718.50
SOLD	09/20/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	17.1601		1,715.99
SOLD	09/20/21	M	CALL MMAT 09/17/21 5 META MATLS INC OPEN CONTRACT Security Number: 9KBFDR3	10	0.15		149.45

*September 1, 2021 - September 30, 2021*

PAGE 7 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/21/21	M	META MATLS INC COMMON STOCK A/E 9KBFDR3 64 ASSIGNED CUSIP: 59134N104	6,400	5		31,999.07
BOUGHT	09/22/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	380	4.97	1,888.60	
BOUGHT	09/23/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	20	4.96	99.20	
BOUGHT	09/23/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	480	4.95	2,376.00	
BOUGHT	09/23/21	M	PUT SPY 09/22/21 434 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8BTCVB9	4	0.70	280.21	
BOUGHT	09/23/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	1	0.10	10.05	
BOUGHT	09/23/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	2	0.10	20.10	
BOUGHT	09/23/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	10	0.10	100.52	



*September 1, 2021 - September 30, 2021*

PAGE 8 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/23/21	M	PUT SPY 09/22/21 434 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8BTCVB9	4	0.60		239.77
BOUGHT	09/24/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	3	0.10	30.16	
BOUGHT	09/27/21	M	PUT MRIN 10/15/21 7.50 MARIN SOFTWARE INCORPORATED OPEN CONTRACT Security Number: 8H06023	2	0.50	100.10	
BOUGHT	09/27/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	2	0.10	20.10	
BOUGHT	09/27/21	M	CALL MMAT 10/15/21 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFD5	2	0.10	20.10	
SOLD	09/27/21	M	PUT MRIN 10/15/21 7.50 MARIN SOFTWARE INCORPORATED CLOSING CONTRACT Security Number: 8H06023	2	0.45		89.88
BOUGHT	09/28/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.21805	2,609.03	
BOUGHT	09/28/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.18	2,590.00	

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September 1, 2021 - September 30, 2021

PAGE 9 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	09/28/21	M	CALL F 01/20/23 20 FORD MOTOR COMPANY OPEN CONTRACT Security Number: 8CYFTL1	10	0.95	950.52	
BOUGHT	09/28/21	M	CALL OCGN 10/15/21 10 OCUGEN INC OPEN CONTRACT Security Number: 8GJLVP5	2	0.50	100.10	
BOUGHT	09/28/21	M	CALL MSFT 10/01/21 295 MICROSOFT CORP OPEN CONTRACT Security Number: 8SBWCX1	4	2.67	1,068.21	
SOLD	09/28/21	M	CALL F 01/20/23 20 FORD MOTOR COMPANY CLOSING CONTRACT Security Number: 8CYFTL1	10	1.04		1,039.45
SOLD	09/28/21	M	CALL MMAT 10/15/21 10 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFD5	20	0.15		298.91
SOLD	09/28/21	M	CALL MSFT 10/01/21 295 MICROSOFT CORP CLOSING CONTRACT Security Number: 8SBWCX1	4	2.74		1,095.77
SOLD	09/29/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,250	6.1401		7,674.94
SOLD	09/29/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,250	6.1201		7,649.94

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*September 1, 2021 - September 30, 2021*

PAGE 10 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	09/30/21	M	CALL MMAT 10/15/21 7 META MATLS INC OPEN CONTRACT Security Number: 9NYNFC9	10	0.45		449.45
<b>Total Buy / Sell Transactions</b>						<b>\$32,266.14</b>	<b>\$66,398.93</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	09/21/21	M	ACH DISBURSEMENT SEN(20210921007672)			\$10,000.00	
<b>Total Funds Paid And Received</b>						<b>\$10,000.00</b>	
<b>SECURITIES RECEIVED AND DELIVERED</b>							
ASG	09/17/21	M	CALL MMAT 09/17/21 5 META MATLS INC A/E 9KBFD3 64 ASSIGNED Security Number: 9KBFD3	64			
<b>Total Securities Received And Delivered</b>							
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	09/17/21	M	CALL MMAT 09/17/21 6 META MATLS INC OPTION EXPIRATION - EXPIRED Security Number: 9KBFD3	6			
<b>Total Miscellaneous Transactions</b>							

*September 1, 2021 - September 30, 2021*

PAGE 11 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**► EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES**

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	09/29/21	10/01/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	\$6.0791	\$6,079.10	
BOUGHT	09/30/21	10/04/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.73	2,865.00	
<b>Total Executed Trades Pending Settlement</b>							<b>\$8,944.10</b>	

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September 1, 2021 - September 30, 2021

PAGE 12 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**▶ ANNOUNCEMENTS****IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*September 1, 2021 - September 30, 2021*

PAGE 13 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012;
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*September 1, 2021 - September 30, 2021*

PAGE 14 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*September 1, 2021 - September 30, 2021*

PAGE 15 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)****Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*September 1, 2021 - September 30, 2021*

PAGE 16 OF 16

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

I N D I V I D U A L A C C O U N T

*October 1, 2021 - October 31, 2021*

PAGE 1 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

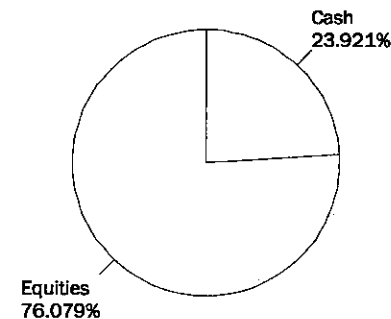
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$46,842.44	\$10,335.20
NET ACCOUNT BALANCE	46,842.44	10,335.20
Securities	-206.32	32,870.00
TOTAL PRICED PORTFOLIO	-206.32	32,870.00
<b>Total Equity Holdings</b>	<b>\$46,636.12</b>	<b>\$43,205.20</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial adviser.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*October 1, 2021 - October 31, 2021*

PAGE 2 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

► **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
AULT GLOBAL HOLDINGS INC COMMON STOCK	DPW	M	1,000	\$2.32	\$2,320.00		N/A		5.370%
META MATLS INC COMMON STOCK	MMAT	M	6,500	4.70	30,550.00		N/A		70.709
<b>Total Equities</b>					<b>\$32,870.00</b>				<b>76.079%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$10,335.20</b>				<b>23.921%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$43,205.20</b>				

► **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	10/01/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	\$6.0791	\$6,079.10	
BOUGHT	10/04/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.73	2,865.00	
BOUGHT	10/05/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.54	2,770.00	

*October 1, 2021 - October 31, 2021*

PAGE 3 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	10/06/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	5.115	1,023.00	
BOUGHT	10/06/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	5.1677	1,033.54	
BOUGHT	10/06/21	M	CALL MMAT 10/15/21 7 META MATLS INC CLOSING CONTRACT Security Number: 9NYNFC9	10	0.13	130.42	
BOUGHT	10/07/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	600	5.1083	3,064.98	
BOUGHT	10/13/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.28	2,640.00	
SOLD	10/13/21	M	CALL OCGN 10/15/21 10 OCUGEN INC CLOSING CONTRACT Security Number: 8GJLVP5	2	0.39		77.90
BOUGHT	10/14/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.1891	2,594.55	
BOUGHT	10/19/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.165	2,582.50	
BOUGHT	10/19/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	5.0599	2,529.95	

October 1, 2021 - October 31, 2021

PAGE 4 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	10/19/21	M	CALL MMAT 11/19/21 6 META MATLS INC OPEN CONTRACT Security Number: 9KGDFZ4	21	0.35		734.06
SOLD	10/19/21	M	CALL MMAT 11/19/21 6 META MATLS INC OPEN CONTRACT Security Number: 9KGDFZ4	29	0.35		1,013.70
BOUGHT	10/20/21	M	CALL MMAT 11/19/21 6 META MATLS INC CLOSING CONTRACT Security Number: 9KGDFZ4	50	0.30	1,502.12	
BOUGHT	10/21/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	4.715	2,357.50	
BOUGHT	10/21/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	4.8399	2,419.95	
BOUGHT	10/27/21	M	CALL UPS 10/29/21 220 UNITED PARCEL SVC INC OPEN CONTRACT Security Number: 8SDBCQ7	1	1.75	175.04	
BOUGHT	10/28/21	M	CALL AMD 10/29/21 126 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8LWGDW4	5	1.98	990.21	
SOLD	10/28/21	M	CALL AMD 10/29/21 126 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8LWGDW4	5	1.79		894.77

*October 1, 2021 - October 31, 2021*

PAGE 5 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	10/28/21	M	CALL UPS 10/29/21 220 UNITED PARCEL SVC INC CLOSING CONTRACT Security Number: 8SDBCQ7	1	0.86		85.94
BOUGHT	10/29/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	500	2.30	1,150.00	
BOUGHT	10/29/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	500	2.30	1,150.00	
BOUGHT	10/29/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	501	4.4082	2,208.51	
BOUGHT	10/29/21	M	PUT LCID 10/29/21 37 LUCID GROUP INC OPEN CONTRACT Security Number: 8CZRGH5	2	2.32	464.08	
BOUGHT	10/29/21	M	PUT AAPL 10/29/21 150 APPLE INC OPEN CONTRACT Security Number: 8SCSYK2	5	1.13	565.21	
SOLD	10/29/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	4.4001		4.38
SOLD	10/29/21	M	PUT LCID 10/29/21 37 LUCID GROUP INC CLOSING CONTRACT Security Number: 8CZRGH5	2	2.14		427.90

*October 1, 2021 - October 31, 2021*

PAGE 6 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

**CHRISTOPHER COX**

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	10/29/21	M	PUT AAPL 10/29/21 150 APPLE INC CLOSING CONTRACT Security Number: 8SCSYK2	5	1.10		549.77
<b>Total Buy / Sell Transactions</b>						<b>\$40,295.66</b>	<b>\$3,788.42</b>

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
SOLD	10/28/21	11/01/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	-1,000	\$2.35681		\$2,356.67
BOUGHT	10/28/21	11/01/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	1.875	1,875.00	
SOLD	10/29/21	11/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	-1,000	1.92		1,919.87
<b>Total Executed Trades Pending Settlement</b>							<b>\$1,875.00</b>	<b>\$4,276.54</b>



October 1, 2021 - October 31, 2021

PAGE 7 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

October 1, 2021 - October 31, 2021

PAGE 8 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*October 1, 2021 - October 31, 2021*

PAGE 9 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*October 1, 2021 - October 31, 2021*

PAGE 10 OF 11

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*October 1, 2021 - October 31, 2021*

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PAGE 11 OF 11

ACCOUNT NUMBER **SMU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*November 1, 2021 - November 30, 2021*

PAGE 1 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

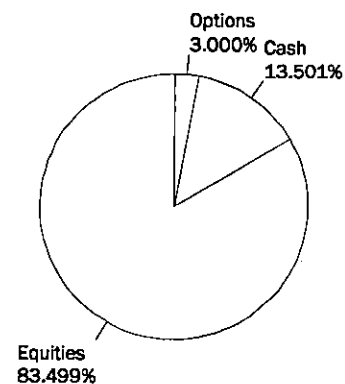
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$10,335.20	\$4,838.06
NET ACCOUNT BALANCE	10,335.20	4,838.06
Securities	32,870.00	30,997.16
TOTAL PRICED PORTFOLIO	32,870.00	30,997.16
<b>Total Equity Holdings</b>	<b>\$43,205.20</b>	<b>\$35,835.22</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC



**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-755-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing price, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held. If available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C= Cash, M= Margin, I= Income, L= Legal, S= Short, X= RVP/DVP, and O= Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEL, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*November 1, 2021 - November 30, 2021*

PAGE 2 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CALL AAL 01/20/23 20 AMERICAN AIRLINES GROUP INC EXP 01/20/2023	8PGLXM1	M	3	\$2.81	\$843.00		N/A		2.352%
IDEANOMICS INC COMMON STOCK	IDEX	M	2,000	1.61	3,220.00		N/A		8.986
META MATLS INC COMMON STOCK	MMAT	M	7,000	3.67	25,690.00	30,550.00	-16		71.689
CALL MMAT 01/21/22 10 META MATLS INC EXP 01/21/2022	8NYNFK0	M	13	0.122	157.82		N/A		.440
TILRAY INC CLASS 2 COMMON STOCK	TLRY	M	100	10.12	1,012.00		N/A		2.824
CALL TLRY 12/17/21 15 TILRAY INC EXP 12/17/2021	8GVDRR7	M	6	0.124	74.34		N/A		.207
<b>Total Equities</b>					<b>\$29,922.00</b>				<b>83.499%</b>
<b>Total Options</b>					<b>\$1,075.16</b>				<b>3.000%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$4,838.06</b>				<b>13.501%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$35,835.22</b>				



*November 1, 2021 - November 30, 2021*

PAGE 3 OF 19

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	11/01/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	\$1.875	\$1,875.00	
SOLD	11/01/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	1,000	2.35681		2,356.67
SOLD	11/02/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	1.92		1,919.87
BOUGHT	11/08/21	M	CALL FB 11/05/21 345 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8SCQTN8	2	0.90	180.08	
SOLD	11/08/21	M	CALL FB 11/05/21 345 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8SCQTN8	2	0.68		135.90
BOUGHT	11/09/21	M	CALL NIO 11/12/21 44 NIO INC ADS OPEN CONTRACT Security Number: 8PCGLC3	10	1.72	1,720.41	
BOUGHT	11/09/21	M	CALL QQQ 11/08/21 400 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SCNRG8	10	0.49	490.41	
SOLD	11/09/21	M	CALL NIO 11/12/21 44 NIO INC ADS CLOSING CONTRACT Security Number: 8PCGLC3	10	1.74		1,739.56

I N D I V I D U A L A C C O U N T

*November 1, 2021 - November 30, 2021*

PAGE 4 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	11/09/21	M	CALL QQQ 11/08/21 400 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SCNRG8	10	0.51		509.56
BOUGHT	11/10/21	M	CALL SNAP 11/19/21 56 SNAP INC OPEN CONTRACT Security Number: 8LWZKQ4	2	1.30	260.08	
BOUGHT	11/10/21	M	CALL SNAP 11/19/21 56 SNAP INC OPEN CONTRACT Security Number: 8LWZKQ4	3	1.36	408.12	
BOUGHT	11/10/21	M	CALL FB 11/12/21 345 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8SGCQD8	10	2.75	2,750.41	
SOLD	11/10/21	M	CALL SNAP 11/19/21 56 SNAP INC CLOSING CONTRACT Security Number: 8LWZKQ4	5	1.39		694.77
SOLD	11/10/21	M	CALL FB 11/12/21 345 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8SGCQD8	10	2.22		2,219.55
BOUGHT	11/12/21	M	CALL PFE 03/18/22 55 PFIZER INC OPEN CONTRACT Security Number: 8LSGDL9	10	1.59	1,590.21	

*November 1, 2021 - November 30, 2021*

PAGE 5 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	11/12/21	M	CALL MMAT 01/21/22 15 META MATLS INC OPEN CONTRACT Security Number: 8NYNFL0	5	0.20	100.21	
BOUGHT	11/12/21	M	PUT BYND 11/12/21 80 BEYOND MEAT INC OPEN CONTRACT Security Number: 8NZDCQ8	2	0.70	140.08	
BOUGHT	11/12/21	M	PUT BYND 11/12/21 90 BEYOND MEAT INC OPEN CONTRACT Security Number: 8NZDCR4	1	1.98	198.04	
BOUGHT	11/12/21	M	CALL AFRM 11/19/21 180 AFFIRM HOLDINGS INC CL A OPEN CONTRACT Security Number: 8PNZCL3	1	1.10	110.02	
BOUGHT	11/12/21	M	CALL MSFT 11/12/21 335 MICROSOFT CORP OPEN CONTRACT Security Number: 8SGFPF6	15	0.77	1,155.32	
SOLD	11/12/21	M	PUT BYND 11/12/21 80 BEYOND MEAT INC CLOSING CONTRACT Security Number: 8NZDCQ8	2	0.94		187.90
SOLD	11/12/21	M	PUT BYND 11/12/21 90 BEYOND MEAT INC CLOSING CONTRACT Security Number: 8NZDCR4	1	2.51		250.94

*November 1, 2021 - November 30, 2021*

PAGE 6 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	11/12/21	M	CALL AFRM 11/19/21 180 AFFIRM HOLDINGS INC CLA CLOSING CONTRACT Security Number: 8PNZCL3	1	1.15		114.96
SOLD	11/12/21	M	CALL MSFT 11/12/21 335 MICROSOFT CORP CLOSING CONTRACT Security Number: 8SGFPF6	15	0.83		1,244.64
BOUGHT	11/15/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	100	13.15	1,315.00	
BOUGHT	11/15/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	1,000	2.09221	2,092.21	
BOUGHT	11/15/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	1.915	1,915.00	
BOUGHT	11/15/21	M	PFIZER INC CUSIP: 717081103	1	49.5299	49.53	
SOLD	11/15/21	M	CALL MMAT 01/21/22 15 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFO	5	0.15		74.87
SOLD	11/16/21	M	CALL TLRY 11/19/21 14 TILRAY INC OPEN CONTRACT Security Number: 9KWJCL6	1	0.48		47.96
BOUGHT	11/17/21	M	TILRAY INC CLASS 2 COMMON STOCK CUSIP: 88688T100	100	13.4099	1,340.99	

I N D I V I D U A L A C C O U N T

*November 1, 2021 - November 30, 2021*

PAGE 7 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	11/17/21	M	AULT GLOBAL HOLDINGS INC COMMON STOCK CUSIP: 05150X104	1,000	1.9701		1,969.96
SOLD	11/17/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	2.10		2,099.86
SOLD	11/17/21	M	CALL IDEX 12/17/21 2 IDEANOMICS INC OPEN CONTRACT Security Number: 9GXHCN6	10	0.20		199.76
BOUGHT	11/18/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	1.8399	1,839.90	
BOUGHT	11/18/21	M	PUT QQQ 11/17/21 397 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8LBRWR6	10	0.64	640.21	
BOUGHT	11/18/21	M	CALL NVDA 11/19/21 320 NVIDIA CORPORATION OPEN CONTRACT Security Number: 8LXBKR0	1	2.25	225.02	
BOUGHT	11/18/21	M	CALL AMD 11/19/21 155 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8PBPMR5	1	1.41	141.02	
BOUGHT	11/18/21	M	CALL MRNA 11/19/21 260 MODERNA INC OPEN CONTRACT Security Number: 8SCBTW4	1	1.26	126.02	

*November 1, 2021 - November 30, 2021*

PAGE 8 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	11/18/21	M	CALL ATVI 12/31/21 70 ACTIVISION BLIZZARD INC OPEN CONTRACT Security Number: 8SHXBM5	1	1.26	126.02	
SOLD	11/18/21	M	PUT QQQ 11/17/21 397 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8LBRWR6	10	0.63		629.76
SOLD	11/18/21	M	CALL NVDA 11/19/21 320 NVIDIA CORPORATION CLOSING CONTRACT Security Number: 8LXBKR0	1	2.35		234.96
SOLD	11/18/21	M	CALL AMD 11/19/21 155 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8PBPMR5	1	1.53		152.96
SOLD	11/18/21	M	CALL MRNA 11/19/21 260 MODERNA INC CLOSING CONTRACT Security Number: 8SCBTW4	1	1.48		147.96
SOLD	11/18/21	M	CALL ATVI 12/31/21 70 ACTIVISION BLIZZARD INC CLOSING CONTRACT Security Number: 8SHXBM5	1	1.27		126.96
SOLD	11/18/21	M	CALL IDEX 12/17/21 2 IDEANOMICS INC OPEN CONTRACT Security Number: 9GXHCN6	10	0.19		189.76

*November 1, 2021 - November 30, 2021*

PAGE 9 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	11/19/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	1,000	1.835	1,835.00	
BOUGHT	11/19/21	M	CALL TRLY 12/17/21 15 TILRAY INC OPEN CONTRACT Security Number: 8GVDRR7	3	0.35	105.06	
BOUGHT	11/19/21	M	CALL TRLY 12/17/21 15 TILRAY INC OPEN CONTRACT Security Number: 8GVDRR7	3	0.35	105.06	
SOLD	11/19/21	M	CALL PFE 03/18/22 55 PFIZER INC CLOSING CONTRACT Security Number: 8LSGDL9	2	2.29		457.94
SOLD	11/19/21	M	CALL PFE 03/18/22 55 PFIZER INC CLOSING CONTRACT Security Number: 8LSGDL9	8	2.05		1,639.80
BOUGHT	11/22/21	M	CALL FB 11/19/21 350 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8GGZKP2	10	1.013	1,013.21	
SOLD	11/22/21	M	PFIZER INC CUSIP: 717081103	1	51.5701		51.55
SOLD	11/22/21	M	CALL FB 11/19/21 350 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8GGZKP2	10	1.07		1,069.76

*November 1, 2021 - November 30, 2021*

PAGE 10 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	11/23/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	10	7.27	72.70	
BOUGHT	11/23/21	M	CALL MMAT 01/21/22 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFK0	6	0.15	90.13	
BOUGHT	11/23/21	M	CALL MMAT 01/21/22 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFK0	7	0.15	105.15	
BOUGHT	11/23/21	M	CALL BBY 11/26/21 150 BEST BUY CO INC OPEN CONTRACT Security Number: 8SFNGP9	1	2.09	209.02	
BOUGHT	11/23/21	M	CALL MSFT 11/26/21 345 MICROSOFT CORP OPEN CONTRACT Security Number: 8SFSPZ3	5	1.89	945.11	
SOLD	11/23/21	M	CALL MSFT 11/26/21 345 MICROSOFT CORP CLOSING CONTRACT Security Number: 8SFSPZ3	5	1.95		974.87
BOUGHT	11/24/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	7	140.00	
BOUGHT	11/24/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	20	6.605	132.10	

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*November 1, 2021 - November 30, 2021*

PAGE 11 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	11/24/21	M	PUT QQQ 11/24/21 396 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8LWVMQ7	10	2	2,000.21	
SOLD	11/24/21	M	PUT QQQ 11/24/21 396 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8LWVMQ7	10	2.098		2,097.75
SOLD	11/24/21	M	CALL BBY 11/26/21 150 BEST BUY CO INC CLOSING CONTRACT Security Number: 8SFNGP9	1	0.01		0.96
BOUGHT	11/26/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	300	3.6999	1,109.97	
BOUGHT	11/26/21	M	CALL SPY 11/24/21 468 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LWHPD2	10	0.53	530.21	
BOUGHT	11/26/21	M	CALL FB 11/26/21 340 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8SFQZS0	5	2.30	1,150.11	
SOLD	11/26/21	M	APTEVO THERAPEUTICS INC COMMON STOCK CUSIP: 03835L207	150	8.7908		1,318.59
SOLD	11/26/21	M	CALL SPY 11/24/21 468 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8LWHPD2	10	0.64		639.76

I N D I V I D U A L A C C O U N T

November 1, 2021 - November 30, 2021

PAGE 12 OF 19

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	11/26/21	M	CALL FB 11/26/21 340 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8SFQZS0	5	2.07		1,034.87
SOLD	11/26/21	M	CALL TLRY 11/26/21 13 TILRAY INC OPEN CONTRACT Security Number: 9SFVDJO	1	0.02		1.96
BOUGHT	11/30/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	3.8887	777.74	
BOUGHT	11/30/21	M	CALL AAL 01/20/23 20 AMERICAN AIRLINES GROUP INC OPEN CONTRACT Security Number: 8PGLXM1	3	2.82	846.06	
BOUGHT	11/30/21	M	CALL IDEX 12/17/21 2 IDEANOMICS INC CLOSING CONTRACT Security Number: 9GXHCN6	20	0.04	80.43	
<b>Total Buy / Sell Transactions</b>						<b>\$32,036.58</b>	<b>\$26,536.90</b>

**MISCELLANEOUS TRANSACTIONS**

JOURNAL	11/18/21	M	CCF FEE REBATE				\$2.54
EXPIRED	11/19/21	M	CALL TLRY 11/19/21 14 TILRAY INC OPTION EXPIRATION - EXPIRED Security Number: 9KWJCL6	1			

November 1, 2021 - November 30, 2021

PAGE 13 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b> (continued)							
EXPIRED	11/26/21	M	CALL TLRY 11/26/21 13 TILRAY INC OPTION EXPIRATION - EXPIRED Security Number: 9SFVDJO	1			
<b>Total Miscellaneous Transactions</b>							<b>\$2.54</b>

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	11/29/21	12/01/21	M	AMERICAN AIRLINES GROUP INC CUSIP: 02376R102	1	\$17.7099	\$17.71	
BOUGHT	11/30/21	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8NKFP7	6	1.64	984.13	
BOUGHT	11/30/21	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8NKFP7	6	1.34	804.13	
SOLD	11/30/21	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8NKFP7	-6	1.26		755.85
SOLD	11/30/21	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8NKFP7	-6	1.71		1,025.85

*November 1, 2021 - November 30, 2021*

PAGE 14 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► EXECUTED TRADES PENDING SETTLEMENT (CONTINUED)

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
SOLD	11/30/21	12/02/21	M	TILRAY INC CLASS 2 COMMON STOCK CUSIP: 88688T100	-100	9.902		990.18

**Total Executed Trades Pending Settlement****\$1,805.97****\$2,771.88**I  
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*November 1, 2021 - November 30, 2021*

PAGE 15 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

November 1, 2021 - November 30, 2021

PAGE 16 OF 19

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*November 1, 2021 - November 30, 2021*

PAGE 17 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*November 1, 2021 - November 30, 2021*

PAGE 18 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.



*November 1, 2021 - November 30, 2021*

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PAGE 19 OF 19

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

I N D I V I D U A L A C C O U N T

*December 1, 2021 - December 31, 2021*

PAGE 1 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

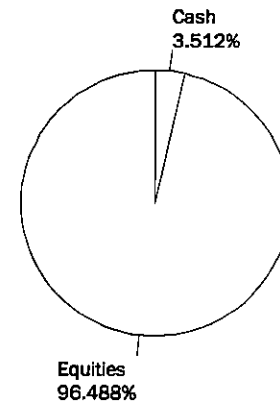
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$4,838.06	\$1,002.28
NET ACCOUNT BALANCE	4,838.06	1,002.28
Securities	30,997.16	27,539.70
TOTAL PRICED PORTFOLIO	30,997.16	27,539.70
<b>Total Equity Holdings</b>	<b>\$35,835.22</b>	<b>\$28,541.98</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on your broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*December 1, 2021 - December 31, 2021*

PAGE 2 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	11,195	\$2.46	\$27,539.70	\$25,690.00	7%		96.488%
<b>Total Equities</b>					<b>\$27,539.70</b>				<b>96.488%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1,002.28</b>				<b>3.512%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$28,541.98</b>				

▶ **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	12/01/21	M	AMERICAN AIRLINES GROUP INC CUSIP: 02376R102	1	\$17.7099	\$17.71	
BOUGHT	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8NKFP7	6	1.64	984.13	
BOUGHT	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8NKFP7	6	1.34	804.13	
SOLD	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8NKFP7	6	1.26		755.85

*December 1, 2021 - December 31, 2021*

PAGE 3 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	12/01/21	M	CALL QQQ 12/01/21 401 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8NKFP67	6	1.71		1,025.85
SOLD	12/02/21	M	TILRAY INC CLASS 2 COMMON STOCK CUSIP: 88688T100	100	9.902		990.18
BOUGHT	12/03/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	3.3418	334.18	
BOUGHT	12/03/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	150	3.36	504.00	
BOUGHT	12/03/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	3.395	3,395.00	
BOUGHT	12/03/21	M	CALL MMAT 01/21/22 6 META MATLS INC OPEN CONTRACT Security Number: 8NYNFJ1	1	0.20	20.02	
BOUGHT	12/03/21	M	CALL MMAT 01/21/22 6 META MATLS INC OPEN CONTRACT Security Number: 8NYNFJ1	4	0.20	80.09	
SOLD	12/03/21	M	IDEANOMICS INC COMMON STOCK CUSIP: 45166V106	2,000	1.5301		3,059.94
BOUGHT	12/06/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	250	3.3399	834.98	

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*December 1, 2021 - December 31, 2021*

PAGE 4 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	12/06/21	M	CALL MMAT 01/21/22 6 META MATLS INC OPEN CONTRACT Security Number: 8NYNFJ1	2	0.19	38.04	
BOUGHT	12/06/21	M	CALL MMAT 01/21/22 10 META MATLS INC OPEN CONTRACT Security Number: 8NYNFK0	2	0.10	20.04	
SOLD	12/06/21	M	CALL TLRY 12/17/21 15 TILRAY INC CLOSING CONTRACT Security Number: 8GVDRR7	6	0.06		35.85
SOLD	12/07/21	M	CALL MMAT 01/21/22 6 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFJ1	7	0.10		69.83
SOLD	12/07/21	M	CALL MMAT 01/21/22 10 META MATLS INC CLOSING CONTRACT Security Number: 8NYNFK0	15	0.05		74.67
SOLD	12/07/21	M	CALL AAL 01/20/23 20 AMERICAN AIRLINES GROUP INC CLOSING CONTRACT Security Number: 8PGLXM1	3	3.01		902.92
BOUGHT	12/08/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.89	289.00	
BOUGHT	12/08/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.89	289.00	

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*December 1, 2021 - December 31, 2021*

PAGE 5 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	12/08/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.89	289.00	
SOLD	12/08/21	M	AMERICAN AIRLINES GROUP INC CUSIP: 02376R102	1	17.6601		17.64
BOUGHT	12/14/21	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	1	0.55	55.02	
BOUGHT	12/14/21	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	4	0.55	220.09	
BOUGHT	12/15/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	200	3.13	626.00	
BOUGHT	12/15/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	300	3.1289	938.67	
BOUGHT	12/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	73	2.9788	217.45	
BOUGHT	12/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	2.98	298.00	
BOUGHT	12/16/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	3.0287	1,514.35	

*December 1, 2021 - December 31, 2021*

PAGE 6 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	12/16/21	M	CALL MMAT 04/14/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8G36187	5	0.41		204.87
BOUGHT	12/17/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	2.8279	2.83	
BOUGHT	12/17/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	72	2.8199	203.03	
BOUGHT	12/22/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	149	2.6099	388.88	
BOUGHT	12/22/21	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	2.6089	2,608.90	
<b>Total Buy / Sell Transactions</b>						<b>\$14,972.54</b>	<b>\$7,137.60</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	12/20/21	M	ACH DEPOSIT SEN(20211220293989)				\$3,000.00
ACH	12/31/21	M	ACH DEPOSIT SEN(20211231262581)				1,000.00
<b>Total Funds Paid And Received</b>							<b>\$4,000.00</b>



**PAGE 7 OF 12**

CHRISTOPHER COX



44 Wall Street, New York, NY 10005  
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TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b>							
JOURNAL	12/06/21	M	ADJ CCF REBATE 11/18			\$0.84	
<b>Total Miscellaneous Transactions</b>						<b>\$0.84</b>	

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	12/31/21	01/04/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	\$2.4981	\$999.24	
<b>Total Executed Trades Pending Settlement</b>							<b>\$999.24</b>	

*December 1, 2021 - December 31, 2021*

PAGE 8 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*December 1, 2021 - December 31, 2021*

PAGE 9 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*December 1, 2021 - December 31, 2021*

PAGE 10 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the Internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*December 1, 2021 - December 31, 2021*

PAGE 11 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

I N D I V I D U A L A C C O U N T

*December 1, 2021 - December 31, 2021*

PAGE 12 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

I N D I V I D U A L A C C O U N T

*January 1, 2022 - January 31, 2022*

PAGE 1 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

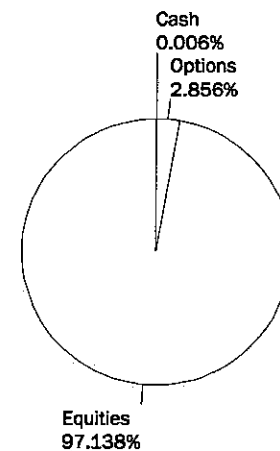
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$1,002.28	\$1.40
NET ACCOUNT BALANCE	1,002.28	1.40
Securities	27,539.70	23,990.11
TOTAL PRICED PORTFOLIO	27,539.70	23,990.11
<b>Total Equity Holdings</b>	<b>\$28,541.98</b>	<b>\$23,991.51</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC



**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RV/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**



*January 1, 2022 - January 31, 2022*

PAGE 2 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	13,955	\$1.67	\$23,304.85	\$27,539.70	-15%		97.138%
CALL MMAT 04/14/22 2 META MATLS INC EXP 04/14/2022	8G36181	M	15	0.295	442.50		N/A		1.844
CALL MMAT 04/14/22 5 META MATLS INC EXP 04/14/2022	8G36187	M	32	0.074	236.48		N/A		.986
CALL MMAT 04/14/22 6 META MATLS INC EXP 04/14/2022	8G36190	M	1	0.063	6.28		N/A		.026
<b>Total Equities</b>					<b>\$23,304.85</b>				<b>97.138%</b>
<b>Total Options</b>					<b>\$685.26</b>				<b>2.856%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1.40</b>				<b>0.006%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$23,991.51</b>				

► **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	01/04/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	\$2.4981	\$999.24	

*January 1, 2022 - January 31, 2022*

PAGE 3 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	01/06/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	2.8299	2.83	
BOUGHT	01/07/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	4	2.6299	10.52	
BOUGHT	01/07/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	885	2.63	2,327.55	
BOUGHT	01/07/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	2.66	2,660.00	
BOUGHT	01/11/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	50	2.44	122.00	
SOLD	01/11/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	50	2.4401		121.99
BOUGHT	01/13/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	10	0.24	240.41	
BOUGHT	01/13/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	10	0.24	240.41	
BOUGHT	01/13/22	M	CALL MMAT 04/14/22 6 META MATLS INC OPEN CONTRACT Security Number: 8G36190	1	0.20	20.04	

*January 1, 2022 - January 31, 2022*

PAGE 4 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	01/19/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2	2.14	4.28	
BOUGHT	01/19/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	465	2.14	995.10	
BOUGHT	01/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	1.825	1.83	
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	2	0.28	56.08	
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	3	0.27	81.12	
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	4	0.28	112.17	
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	6	0.28	168.25	
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	2	0.10	20.08	

*January 1, 2022 - January 31, 2022*

PAGE 5 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	01/28/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	10	0.096	96.41	
BOUGHT	01/31/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2	1.4699	2.94	
<b>Total Buy / Sell Transactions</b>						<b>\$8,161.26</b>	<b>\$121.99</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	01/05/22	M	ACH DEPOSIT SEN(20220105246351)				\$5,000.00
ACH	01/07/22	M	ACH DEPOSIT SEN(20220107343960)				500.00
ACH	01/14/22	M	ACH DEPOSIT SEN(20220113264652)				1,000.00
ACH	01/24/22	M	ACH DEPOSIT SEN(20220122019862)				537.39
ACH	01/24/22	M	ACH DEPOSIT SEN(20220122020220)				1.00
<b>Total Funds Paid And Received</b>							<b>\$7,038.39</b>

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*January 1, 2022 - January 31, 2022*

PAGE 6 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation In Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*January 1, 2022 - January 31, 2022*

PAGE 7 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*January 1, 2022 - January 31, 2022*

PAGE 8 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*January 1, 2022 - January 31, 2022*

PAGE 9 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)****Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.



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*January 1, 2022 - January 31, 2022*

PAGE 10 OF 10

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

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*February 1, 2022 - February 28, 2022*

PAGE 1 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

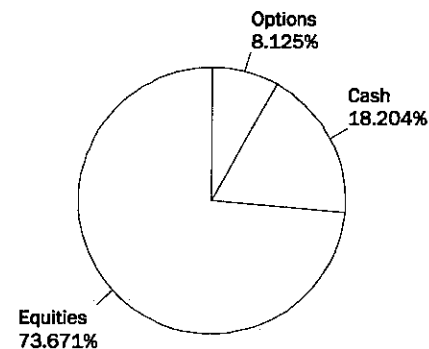
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ▶ ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$1.40	\$7,862.88
NET ACCOUNT BALANCE	1.40	7,862.88
Securities	23,990.11	35,329.21
TOTAL PRICED PORTFOLIO	23,990.11	35,329.21
<b>Total Equity Holdings</b>	<b>\$23,991.51</b>	<b>\$43,192.09</b>

## ▶ PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure which randomly selects from among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates, particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*February 1, 2022 - February 28, 2022*

PAGE 2 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
CALL ASTR 04/14/22 5 ASTRA SPACE INC CLASS A EXP 04/14/2022	8BYCFJ0	M	8	\$0.25	\$200.00		N/A		.463%
META MATLS INC COMMON STOCK	MMAT	M	14,800	2.15	31,820.00	23,304.85	37		73.671
CALL MMAT 04/14/22 2 META MATLS INC EXP 04/14/2022	8G36181	M	57	0.482	2,743.98	442.50	520		6.353
CALL MMAT 04/14/22 3 META MATLS INC EXP 04/14/2022	8G36183	M	10	0.225	225.00	442.50	-49		.521
CALL MMAT 04/14/22 5 META MATLS INC EXP 04/14/2022	8G36187	M	37	0.09	333.00	236.48	41		.771
CALL MMAT 04/14/22 6 META MATLS INC EXP 04/14/2022	8G36190	M	1	0.072	7.23	6.28	15		.017
<b>Total Equities</b>					<b>\$31,820.00</b>				<b>73.671%</b>
<b>Total Options</b>					<b>\$3,509.21</b>				<b>8.125%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$7,862.88</b>				<b>18.204%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$43,192.09</b>				

I N D I V I D U A L A C C O U N T

*February 1, 2022 - February 28, 2022*

PAGE 3 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	02/07/22	M	CALL ASTR 02/18/22 7.50 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8PWQNH7	1	\$0.25	\$25.05	
BOUGHT	02/07/22	M	CALL ASTR 02/18/22 7.50 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8PWQNH7	1	0.30	30.05	
BOUGHT	02/08/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	3	0.10	30.15	
BOUGHT	02/08/22	M	CALL ASTR 02/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8PWQNH5	1	0.90	90.05	
BOUGHT	02/08/22	M	CALL ASTR 02/18/22 7.50 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8PWQNH7	1	0.30	30.05	
BOUGHT	02/08/22	M	CALL ASTR 02/18/22 7.50 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8PWQNH7	1	0.35	35.05	
BOUGHT	02/08/22	M	PUT HOG 02/11/22 30 HARLEY DAVIDSON INC OPEN CONTRACT Security Number: 8SKLGW9	1	0.19	19.05	

*February 1, 2022 - February 28, 2022*

PAGE 4 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/08/22	M	CALL SPY 02/07/22 451 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SMRXD2	4	1.11	444.20	
SOLD	02/08/22	M	CALL ASTR 02/18/22 5 ASTRA SPACE INC CLASS A CLOSING CONTRACT Security Number: 8PWQNH5	1	0.45		44.93
SOLD	02/08/22	M	CALL ASTR 02/18/22 7.50 ASTRA SPACE INC CLASS A CLOSING CONTRACT Security Number: 8PWQNH7	4	0.15		59.78
SOLD	02/08/22	M	CALL SPY 02/07/22 451 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SMRXD2	4	0.94		375.78
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	1	0.30	30.05	
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	4	0.30	120.20	
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	10	0.30	300.49	

*February 1, 2022 - February 28, 2022*

PAGE 5 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	10	0.30	300.49	
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	17	0.30	510.84	
BOUGHT	02/09/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	2	0.10	20.10	
SOLD	02/10/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	311	1.622		504.39
BOUGHT	02/16/22	M	ANTERO RESOURCES CORPORATION CUSIP: 03674X106	1	0.0001		
BOUGHT	02/16/22	M	CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889	1	0.0001		
BOUGHT	02/16/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	02/16/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	02/16/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		

I N D I V I D U A L A C C O U N T

*February 1, 2022 - February 28, 2022*

PAGE 6 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/16/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	02/17/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	23	1.84	42.32	
SOLD	02/17/22	M	ANTERO RESOURCES CORPORATION CUSIP: 03674X106	1	20.05		20.03
SOLD	02/17/22	M	CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889	1	5.51		5.49
SOLD	02/17/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	4	4.11		16.42
BOUGHT	02/23/22	M	CALL ASTR 04/14/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8BYCFJ0	4	0.25	100.20	
BOUGHT	02/23/22	M	CALL ASTR 04/14/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8BYCFJ0	4	0.25	100.20	
BOUGHT	02/23/22	M	CALL AMD 02/25/22 118 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8GXHJP9	5	3.05	1,525.25	



*February 1, 2022 - February 28, 2022*

PAGE 7 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/23/22	M	CALL MMAT 04/14/22 3 META MATLS INC OPEN CONTRACT Security Number: 8G36183	10	0.15	150.49	
SOLD	02/23/22	M	CALL AMD 02/25/22 118 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8GXHJP9	5	3.10		1,549.73
BOUGHT	02/24/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	333	1.6199	539.43	
BOUGHT	02/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.6199	809.95	
BOUGHT	02/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	1.50	150.00	
BOUGHT	02/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	1.50	150.00	
BOUGHT	02/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	100	1.4999	149.99	
BOUGHT	02/28/22	M	CALL SPY 02/25/22 434 . STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SLCKD7	2	0.35	70.10	

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PAGE 8 OF 14

CHRISTOPHER COX



44 Wall Street, New York, NY 10005  
customerservice@webull.us

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	02/28/22	M	CALL SPY 02/25/22 434 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SLCKD7	2	0.50	100.10	
SOLD	02/28/22	M	CALL SPY 02/25/22 434 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SLCKD7	4	0.3975		158.78
<b>Total Buy / Sell Transactions</b>						<b>\$5,873.85</b>	<b>\$2,735.33</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	02/01/22	M	ACH DEPOSIT SEN(20220131531410)				\$1,000.00
ACH	02/16/22	M	ACH DEPOSIT SEN(20220216089553)				10,000.00
<b>Total Funds Paid And Received</b>							<b>\$11,000.00</b>
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	02/11/22	M	PUT HOG 02/11/22 30 HARLEY DAVIDSON INC OPTION EXPIRATION - EXPIRED Security Number: 8SKLGW9	-1			
<b>Total Miscellaneous Transactions</b>							

*February 1, 2022 - February 28, 2022*

PAGE 9 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	02/28/22	03/01/22	M	CALL MRNA 03/04/22 165 MODERNA INC OPEN CONTRACT Security Number: 8CZHWD6	2	\$1.13	\$226.10	
SOLD	02/28/22	03/01/22	M	CALL MRNA 03/04/22 165 MODERNA INC CLOSING CONTRACT Security Number: 8CZHWD6	-2	1.18		235.88
<b>Total Executed Trades Pending Settlement</b>							<b>\$226.10</b>	<b>\$235.88</b>

I N D I V I D U A L A C C O U N T

February 1, 2022 - February 28, 2022

PAGE 10 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*February 1, 2022 - February 28, 2022*

PAGE 11 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*February 1, 2022 - February 28, 2022*

PAGE 12 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

I N D I V I D U A L A C C O U N T

*February 1, 2022 - February 28, 2022*

PAGE 13 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

I N D I V I D U A L A C C O U N T

*February 1, 2022 - February 28, 2022*

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PAGE 14 OF 14

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

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APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*March 1, 2022 - March 31, 2022*

PAGE 1 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

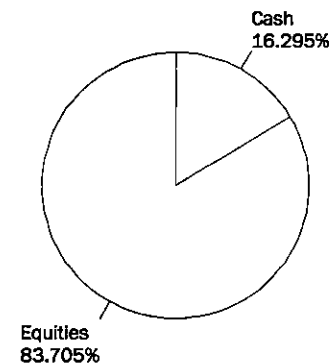
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$7,862.88	\$6,421.06
NET ACCOUNT BALANCE	7,862.88	6,421.06
Securities	35,329.21	32,984.17
TOTAL PRICED PORTFOLIO	35,329.21	32,984.17
<b>Total Equity Holdings</b>	<b>\$43,192.09</b>	<b>\$39,405.23</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. **This statement should be retained for income tax purposes.**

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

## IMPORTANT INFORMATION

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

## NOTICE TO CUSTOMERS

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*March 1, 2022 - March 31, 2022*

PAGE 2 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	19,751	\$1.67	\$32,984.17	\$31,820.00	4%		83.705%
<b>Total Equities</b>					<b>\$32,984.17</b>				<b>83.705%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$6,421.06</b>				<b>16.295%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$39,405.23</b>				

▶ **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	03/01/22	M	CALL MRNA 03/04/22 165 MODERNA INC OPEN CONTRACT Security Number: 8CZHWD6	2	\$1.13	\$226.10	
SOLD	03/01/22	M	CALL MRNA 03/04/22 165 MODERNA INC CLOSING CONTRACT Security Number: 8CZHWD6	2	1.18		235.88
BOUGHT	03/02/22	M	CALL Z 03/04/22 60 ZILLOW GROUP INC CLASS C OPEN CONTRACT Security Number: 8GHYPQ9	5	0.72	360.25	

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*March 1, 2022 - March 31, 2022*

PAGE 3 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/02/22	M	PUT SPY 03/02/22 430 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PJWV7	4	2.74	1,096.20	
SOLD	03/02/22	M	CALL Z 03/04/22 60 ZILLOW GROUP INC CLASS C CLOSING CONTRACT Security Number: 8GHYPQ9	2	0.73		145.88
SOLD	03/02/22	M	CALL Z 03/04/22 60 ZILLOW GROUP INC CLASS C CLOSING CONTRACT Security Number: 8GHYPQ9	3	0.75		224.83
SOLD	03/02/22	M	PUT SPY 03/02/22 430 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PJWV7	4	2.36		943.78
BOUGHT	03/03/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2	2.06	4.12	
BOUGHT	03/07/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.5699	784.95	
BOUGHT	03/07/22	M	CALL SPY 03/04/22 430 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8GNHRK9	4	1.98	792.20	
SOLD	03/07/22	M	CALL SPY 03/04/22 430 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8GNHRK9	4	2.11		843.78

I N D I V I D U A L A C C O U N T

*March 1, 2022 - March 31, 2022*

PAGE 4 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/08/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,198	1.5299	1,832.82	
BOUGHT	03/10/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.09	9.05	
BOUGHT	03/10/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.09	9.05	
BOUGHT	03/10/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.09	9.05	
BOUGHT	03/10/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.09	9.05	
BOUGHT	03/14/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.555	1,555.00	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.08	8.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.08	8.05	

*March 1, 2022 - March 31, 2022*

PAGE 5 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.08	8.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.09	9.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.07	7.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.10	10.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.10	10.05	
BOUGHT	03/14/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A OPEN CONTRACT Security Number: 8H48167	1	0.10	10.05	
BOUGHT	03/14/22	M	CALL MMAT 03/18/22 3 META MATLS INC OPEN CONTRACT Security Number: 8KXKLS7	8	0.01	8.39	

*March 1, 2022 - March 31, 2022*

PAGE 8 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/14/22	M	CALL MMAT 03/18/22 3 META MATLS INC OPEN CONTRACT Security Number: 8KXKLS7	42	0.01	44.06	
BOUGHT	03/14/22	M	CALL MMAT 03/18/22 3 META MATLS INC OPEN CONTRACT Security Number: 8KXKLS7	5	0.02	10.25	
BOUGHT	03/14/22	M	CALL MMAT 03/18/22 3 META MATLS INC OPEN CONTRACT Security Number: 8KXKLS7	20	0.02	40.98	
BOUGHT	03/14/22	M	PUT VXX 03/18/22 25 IPATH SRS B S&P 500 VIX SHRT OPEN CONTRACT Security Number: 8KZMWT2	1	0.71	71.05	
BOUGHT	03/14/22	M	PUT VXX 03/18/22 25 IPATH SRS B S&P 500 VIX SHRT OPEN CONTRACT Security Number: 8KZMWT2	1	0.71	71.05	
BOUGHT	03/14/22	M	CALL AMD 03/11/22 107 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8SLJCCO	5	0.88	440.25	
SOLD	03/14/22	M	CALL AMD 03/11/22 107 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8SLJCCO	5	0.65		324.73

I N D I V I D U A L A C C O U N T

March 1, 2022 - March 31, 2022

PAGE 7 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	03/15/22	M	PUT VXX 03/18/22 25 IPATH SRS B S&P 500 VIX SHRT CLOSING CONTRACT Security Number: 8KZMWT2	2	0.60		119.88
BOUGHT	03/16/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	1.4089	1.41	
BOUGHT	03/16/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.4687	734.35	
BOUGHT	03/16/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.515	757.50	
BOUGHT	03/16/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.43	715.00	
BOUGHT	03/16/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	744	1.4088	1,048.15	
BOUGHT	03/16/22	M	CALL MMAT 04/14/22 2 META MATLS INC OPEN CONTRACT Security Number: 8G36181	3	0.16	48.15	
BOUGHT	03/16/22	M	CALL MMAT 04/14/22 3 META MATLS INC OPEN CONTRACT Security Number: 8G36183	5	0.07	35.25	



*March 1, 2022 - March 31, 2022*

PAGE 8 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/16/22	M	CALL MMAT 04/14/22 3 META MATLS INC OPEN CONTRACT Security Number: 8G36183	5	0.07	35.25	
BOUGHT	03/16/22	M	CALL MMAT 04/14/22 5 META MATLS INC OPEN CONTRACT Security Number: 8G36187	13	0.03	39.64	
SOLD	03/16/22	M	CALL ASTR 04/14/22 5 ASTRA SPACE INC CLASS A CLOSING CONTRACT Security Number: 8BYCFJO	8	0.26		207.58
SOLD	03/16/22	M	CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A CLOSING CONTRACT Security Number: 8H48167	12	0.10		119.37
SOLD	03/17/22	M	CALL MMAT 03/18/22 3 META MATLS INC CLOSING CONTRACT Security Number: 8KXKLS7	2	0.01		1.88
SOLD	03/17/22	M	CALL MMAT 03/18/22 3 META MATLS INC CLOSING CONTRACT Security Number: 8KXKLS7	4	0.01		3.78
SOLD	03/17/22	M	CALL MMAT 03/18/22 3 META MATLS INC CLOSING CONTRACT Security Number: 8KXKLS7	4	0.01		3.78

*March 1, 2022 - March 31, 2022*

PAGE 9 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/18/22	M	CALL MMAT 07/15/22 2 META MATLS INC OPEN CONTRACT Security Number: 8KHPSM0	1	0.49	49.05	
BOUGHT	03/18/22	M	CALL MMAT 07/15/22 2 META MATLS INC OPEN CONTRACT Security Number: 8KHPSM0	1	0.49	49.05	
SOLD	03/18/22	M	CALL MMAT 03/18/22 3 META MATLS INC CLOSING CONTRACT Security Number: 8KXKLS7	56	0.01		53.12
BOUGHT	03/21/22	M	UNITED STATES OIL FUND LP SHARES OF UNITED STATES OIL FUND LP CUSIP: 91232N207	3	73.40	220.20	
SOLD	03/21/22	M	UNITED STATES OIL FUND LP SHARES OF UNITED STATES OIL FUND LP CUSIP: 91232N207	3	73.50		220.48
BOUGHT	03/22/22	M	CALL MMAT 07/15/22 2 META MATLS INC OPEN CONTRACT Security Number: 8KHPSM0	2	0.49	98.10	
BOUGHT	03/23/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	5	1.8399	9.20	

*March 1, 2022 - March 31, 2022*

PAGE 10 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/23/22	M	CALL MMAT 07/15/22 4 META MATLS INC OPEN CONTRACT Security Number: 8KHPTH8	1	0.20	20.05	
BOUGHT	03/24/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	1.91	1.91	
BOUGHT	03/24/22	M	CALL XOM 04/14/22 85 EXXON MOBIL CORP OPEN CONTRACT Security Number: 8NNWQC2	4	2.32	928.20	
SOLD	03/24/22	M	CALL MMAT 04/14/22 2 META MATLS INC CLOSING CONTRACT Security Number: 8G36181	60	0.26		1,556.91
SOLD	03/24/22	M	CALL MMAT 04/14/22 3 META MATLS INC CLOSING CONTRACT Security Number: 8G36183	20	0.06		118.97
SOLD	03/24/22	M	CALL MMAT 07/15/22 2 META MATLS INC CLOSING CONTRACT Security Number: 8KHPSM0	1	0.56		55.93
SOLD	03/24/22	M	CALL MMAT 07/15/22 2 META MATLS INC CLOSING CONTRACT Security Number: 8KHPSM0	3	0.58		173.83

PAGE 11 OF 24

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44 Wall Street, New York, NY 10005  
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*March 1, 2022 - March 31, 2022*

PAGE 12 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/25/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	03/25/22	M	CALL F 01/20/23 20 FORD MOTOR COMPANY OPEN CONTRACT Security Number: 8CYFTL1	6	1.57	942.29	
BOUGHT	03/25/22	M	CALL AAPL 03/25/22 172.50 APPLE INC OPEN CONTRACT Security Number: 8PLGKV4	10	0.84	840.49	
BOUGHT	03/25/22	M	CALL SPY 03/25/22 448 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SMGZC3	6	1.86	1,116.29	
SOLD	03/25/22	M	CALL F 01/20/23 20 FORD MOTOR COMPANY CLOSING CONTRACT Security Number: 8CYFTL1	6	1.55		929.69
SOLD	03/25/22	M	CALL MMAT 04/14/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8G36187	33	0.02		64.30
SOLD	03/25/22	M	CALL MMAT 04/14/22 6 META MATLS INC CLOSING CONTRACT Security Number: 8G36190	1	0.01		0.93

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*March 1, 2022 - March 31, 2022*

PAGE 13 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	03/25/22	M	CALL XOM 04/14/22 85 EXXON MOBIL CORP CLOSING CONTRACT Security Number: 8NNWQC2	4	2.43		971.78
SOLD	03/25/22	M	CALL AAPL 03/25/22 172.50 APPLE INC CLOSING CONTRACT Security Number: 8PLGKV4	10	0.86		859.48
SOLD	03/25/22	M	CALL SPY 03/25/22 448 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SMGZC3	6	1.97		1,181.69
BOUGHT	03/28/22	M	CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRICP CRTS OF CEMEX S A DE C V CUSIP: 151290889	1	0.0001		
BOUGHT	03/28/22	M	FORD MOTOR CO PAR \$0.01 CUSIP: 345370860	1	0.0001		
BOUGHT	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		

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*March 1, 2022 - March 31, 2022*

PAGE 14 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	03/28/22	M	CALL MARA 04/14/22 35 MARATHON DIGITAL HOLDINGS INC OPEN CONTRACT Security Number: 8SKSSW0	11	0.919091	1,011.54	
BOUGHT	03/28/22	M	CALL SPY 03/25/22 453 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SMGZD3	10	1	1,000.49	
SOLD	03/28/22	M	CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889	1	5.19		5.17
SOLD	03/28/22	M	EXXON MOBIL CORP CUSIP: 30231G102	1	84.2801		84.26
SOLD	03/28/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	7	3.72		26.02
SOLD	03/28/22	M	CALL MMAT 04/14/22 5 META MATLS INC CLOSING CONTRACT Security Number: 8G36187	17	0.02		33.11

I N D I V I D U A L A C C O U N T

*March 1, 2022 - March 31, 2022*

PAGE 16 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	03/28/22	M	CALL MARA 04/14/22 35 MARATHON DIGITAL HOLDINGS INC CLOSING CONTRACT Security Number: 8SKSSW0	11	0.95		1,044.43
SOLD	03/28/22	M	CALL SPY 03/25/22 453 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SMGZD3	10	1.02		1,019.48
BOUGHT	03/29/22	M	MARATHON DIGITAL HLDGS INC COMMON STOCK CUSIP: 565788106	1	28.36	28.36	
BOUGHT	03/29/22	M	PUT AMD 04/01/22 117 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8BXJTY4	3	1.45	435.15	
BOUGHT	03/29/22	M	PUT AMD 04/01/22 117 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8BXJTY4	6	1.56	936.29	
BOUGHT	03/29/22	M	PUT AMD 04/01/22 117 ADVANCED MICRO DEVICES INC OPEN CONTRACT Security Number: 8BXJTY4	4	1.53	612.20	
BOUGHT	03/29/22	M	CALL LMT 04/01/22 455 LOCKHEED MARTIN CORP OPEN CONTRACT Security Number: 8SMZZD2	1	3.60	360.05	



*March 1, 2022 - March 31, 2022*

PAGE 18 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	03/29/22	M	CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V CUSIP: 151290889	1	5.21		5.19
SOLD	03/29/22	M	FORD MOTOR CO PAR \$0.01 CUSIP: 345370860	1	16.84		16.82
SOLD	03/29/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	5	3.61		18.03
SOLD	03/29/22	M	MARATHON DIGITAL HLDGS INC COMMON STOCK CUSIP: 565788106	1	28.73		28.71
SOLD	03/29/22	M	CALL LMT 04/01/22 455 LOCKHEED MARTIN CORP CLOSING CONTRACT Security Number: 8SMZZD2	1	3.40		339.93
BOUGHT	03/30/22	M	CALL QQQ 03/30/22 370 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8KDGCH4	6	1.66	996.29	
BOUGHT	03/30/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP OPEN CONTRACT Security Number: 8SNBNN6	1	0.83	83.05	
BOUGHT	03/30/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP OPEN CONTRACT Security Number: 8SNBNN6	1	0.88	88.05	

*March 1, 2022 - March 31, 2022*

PAGE 17 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	03/30/22	M	PUT AMD 04/01/22 117 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8BXJTY4	6	0.86		515.69
SOLD	03/30/22	M	PUT AMD 04/01/22 117 ADVANCED MICRO DEVICES INC CLOSING CONTRACT Security Number: 8BXJTY4	7	0.82		573.63
SOLD	03/30/22	M	CALL QQQ 03/30/22 370 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8KDGCH4	6	1.816667		1,089.69
SOLD	03/31/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP CLOSING CONTRACT Security Number: 8SNBNN6	2	0.72		143.88
<b>Total Buy / Sell Transactions</b>						<b>\$20,769.05</b>	<b>\$14,327.23</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	03/23/22	M	ACH DEPOSIT SEN(20220323168375)				\$5,000.00
<b>Total Funds Paid And Received</b>							<b>\$5,000.00</b>

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*March 1, 2022 - March 31, 2022*

PAGE 18 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b>							
EXPIRED	03/18/22	M	CALL MMAT 03/18/22 3 META MATLS INC OPTION EXPIRATION - EXPIRED Security Number: 8KXKLS7	-9			
<b>Total Miscellaneous Transactions</b>							

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	03/30/22	04/01/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	\$0.86	\$860.00	
BOUGHT	03/30/22	04/01/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206	1,000	1.97	1,970.00	
BOUGHT	03/31/22	04/01/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP OPEN CONTRACT Security Number: 8SNBNN6	2	0.32	64.10	
SOLD	03/31/22	04/04/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	-1,000	0.8385		838.36
SOLD	03/31/22	04/04/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	-751	1.74		1,306.63

*March 1, 2022 - March 31, 2022*

PAGE 19 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**

## ▶ EXECUTED TRADES PENDING SETTLEMENT (CONTINUED)

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
SOLD	03/31/22	04/04/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206	-1,000	2.0007		2,000.55
<b>Total Executed Trades Pending Settlement</b>							<b>\$2,894.10</b>	<b>\$4,145.54</b>

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*March 1, 2022 - March 31, 2022*

PAGE 20 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*March 1, 2022 - March 31, 2022*

PAGE 21 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*March 1, 2022 - March 31, 2022*

PAGE 22 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonably ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*March 1, 2022 - March 31, 2022*

PAGE 23 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non- public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*March 1, 2022 - March 31, 2022*

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PAGE 24 OF 24

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

*April 1, 2022 - April 30, 2022*

PAGE 1 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

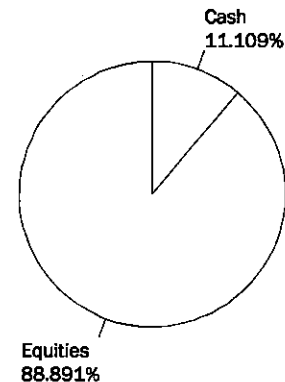
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$6,421.06	\$3,899.03
NET ACCOUNT BALANCE	6,421.06	3,899.03
Securities	32,984.17	31,200.00
TOTAL PRICED PORTFOLIO	32,984.17	31,200.00
<b>Total Equity Holdings</b>	<b>\$39,405.23</b>	<b>\$35,099.03</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, (including a maximum of \$250,000 for cash claims). For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Report as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME:**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Canceled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. **ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.**

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*April 1, 2022 - April 30, 2022*

PAGE 2 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	26,000	\$1.20	\$31,200.00	\$32,984.17	-5%		88.891%
<b>Total Equities</b>					<b>\$31,200.00</b>				<b>88.891%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$3,899.03</b>				<b>11.109%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$35,099.03</b>				

▶ **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	04/01/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	\$0.86	\$860.00	
BOUGHT	04/01/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206	1,000	1.97	1,970.00	
BOUGHT	04/01/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP OPEN CONTRACT Security Number: 8SNBNN6	2	0.32	64.10	
SOLD	04/04/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	0.8385		838.36

*April 1, 2022 - April 30, 2022*

PAGE 3 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/04/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	751	1.74		1,306.63
SOLD	04/04/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206	1,000	2.0007		2,000.55
SOLD	04/04/22	M	CALL MSFT 04/01/22 320 MICROSOFT CORP CLOSING CONTRACT Security Number: 8SNBNN6	2	0.02		3.88
BOUGHT	04/05/22	M	CALL AAPL 04/08/22 180 APPLE INC OPEN CONTRACT Security Number: 8KXPTY6	10	0.87	870.49	
SOLD	04/05/22	M	CALL AAPL 04/08/22 180 APPLE INC CLOSING CONTRACT Security Number: 8KXPTY6	10	0.88		879.50
BOUGHT	04/07/22	M	PUT UVXY 04/08/22 14 PROSHARES ULTRA VIX SHORT TERM OPEN CONTRACT Security Number: 8LLMYS4	10	0.54	540.49	
BOUGHT	04/07/22	M	CALL QQQ 04/06/22 354 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SNPNQ7	5	1.49	745.25	
BOUGHT	04/07/22	M	CALL QQQ 04/06/22 354 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SNPNQ7	10	1.09	1,090.49	

*April 1, 2022 - April 30, 2022*

PAGE 4 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/07/22	M	PUT UVXY 04/08/22 14 PROSHARES ULTRA VIX SHORT TERM CLOSING CONTRACT Security Number: 8LLMYS4	10	0.43		429.48
SOLD	04/07/22	M	CALL QQQ 04/06/22 354 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SNPNQ7	5	1.71		854.73
SOLD	04/07/22	M	CALL QQQ 04/06/22 354 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SNPNQ7	10	1.22		1,219.48
BOUGHT	04/08/22	M	PUT SPY 04/08/22 440 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LKBPH0	1	0.72	72.05	
BOUGHT	04/08/22	M	CALL SPY 04/08/22 450 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LKBPS7	10	0.89	890.49	
BOUGHT	04/08/22	M	PUT SPY 04/08/22 443 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8NPYHB9	10	0.80	800.49	
BOUGHT	04/08/22	M	PUT SPY 04/08/22 448 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8NPYHN5	10	0.94	940.49	

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

PAGE 5 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/08/22	M	PUT SPY 04/08/22 440 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8LKBPH0	1	0.77		76.93
SOLD	04/08/22	M	CALL SPY 04/08/22 450 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8LKBPS7	10	0.92		919.50
SOLD	04/08/22	M	PUT SPY 04/08/22 443 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8NPYHB9	10	0.81		809.48
SOLD	04/08/22	M	PUT SPY 04/08/22 448 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8NPYHN5	10	0.97		969.48
BOUGHT	04/12/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	0.772	772.00	
BOUGHT	04/12/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.495	1,495.00	
BOUGHT	04/12/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684206	1,000	1.64	1,640.00	
BOUGHT	04/12/22	M	CALL GLD 04/14/22 185 SPDR GOLD TR OPEN CONTRACT Security Number: 8PHSWY0	10	0.25	250.49	

*April 1, 2022 - April 30, 2022*

PAGE 8 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/12/22	M	CAMBER ENERGY INC COMMON STOCK CUSIP: 13200M508	1,000	0.7605		760.36
SOLD	04/12/22	M	WESTWATER RESOURCES INC COMMON STOCK CUSIP: 961684208	1,000	1.7112		1,711.06
SOLD	04/12/22	M	CALL GLD 04/14/22 185 SPDR GOLD TR CLOSING CONTRACT Security Number: 8PHSWY0	10	0.27		269.48
BOUGHT	04/13/22	M	CALL AAPL 04/14/22 170 APPLE INC OPEN CONTRACT Security Number: 8BYGSY5	4	1.26	504.20	
BOUGHT	04/13/22	M	CALL SPY 04/13/22 443 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8CSGYV0	5	0.83	415.25	
BOUGHT	04/13/22	M	PUT AAPL 04/14/22 167.50 APPLE INC OPEN CONTRACT Security Number: 8PKVTC9	5	1	500.25	
BOUGHT	04/13/22	M	CALL SPY 04/13/22 445 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PLFGJ2	5	0.94	470.25	
BOUGHT	04/13/22	M	PUT SPY 04/13/22 442 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SNQKB0	1	1.63	163.05	

I N D I V I D U A L A C C O U N T



*April 1, 2022 - April 30, 2022*

PAGE 7 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/13/22	M	CALL AAPL 04/14/22 170 APPLE INC CLOSING CONTRACT Security Number: 8BYGSY5	4	1.27		507.79
SOLD	04/13/22	M	CALL SPY 04/13/22 443 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8CSGYV0	5	0.79		394.73
SOLD	04/13/22	M	PUT AAPL 04/14/22 167.50 APPLE INC CLOSING CONTRACT Security Number: 8PKVTC9	5	1.03		514.73
SOLD	04/13/22	M	CALL SPY 04/13/22 445 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PLFGJ2	5	0.94		469.73
SOLD	04/13/22	M	PUT SPY 04/13/22 442 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SNQK80	1	1.58		157.93
BOUGHT	04/18/22	M	PUT TWTR 04/22/22 44 TWITTER INC OPEN CONTRACT Security Number: 8PJHCT9	1	2.02	202.05	
BOUGHT	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SGTJJ8	4	0.39	156.20	

*April 1, 2022 - April 30, 2022*

PAGE 8 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SGTJJ8	5	1.01	505.25	
BOUGHT	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SGTJJ8	5	0.30	150.25	
BOUGHT	04/18/22	M	CALL AAPL 04/29/22 170 APPLE INC OPEN CONTRACT Security Number: 8SPPVY7	4	2.63	1,052.20	
SOLD	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SGTJJ8	4	0.42		167.78
SOLD	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SGTJJ8	5	1.06		529.73
SOLD	04/18/22	M	CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SGTJJ8	5	0.35		174.73
SOLD	04/19/22	M	PUT TWTR 04/22/22 44 TWITTER INC CLOSING CONTRACT Security Number: 8PJHCT9	1	0.96		95.93

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

PAGE 9 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	04/19/22	S	TWITTER INC COVER SHORT. CUSIP: 90184L102	1	46	46.00	
SOLD	04/19/22	S	TWITTER INC SHORT. CUSIP: 90184L102	1	45.69		45.67
BOUGHT	04/20/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.42	1,420.00	
BOUGHT	04/20/22	M	CALL AAPL 04/29/22 170 APPLE INC OPEN CONTRACT Security Number: 8SPPVY7	4	2.42	968.20	
BOUGHT	04/20/22	M	CALL AAPL 04/29/22 170 APPLE INC OPEN CONTRACT Security Number: 8SPPVY7	4	2.33	932.20	
BOUGHT	04/20/22	M	CALL NIO 04/29/22 20 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPM3	5	0.93	465.25	
SOLD	04/20/22	M	CALL AAPL 04/29/22 170 APPLE INC CLOSING CONTRACT Security Number: 8SPPVY7	4	2.51		1,003.78
SOLD	04/20/22	M	CALL AAPL 04/29/22 170 APPLE INC CLOSING CONTRACT Security Number: 8SPPVY7	4	2.70		1,079.78

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

PAGE 10 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/20/22	M	CALL AAPL 04/29/22 170 APPLE INC CLOSING CONTRACT Security Number: 8SPVY7	4	2.54		1,015.78
SOLD	04/20/22	M	CALL NIO 04/29/22 20 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPM3	5	0.95		474.73
BOUGHT	04/21/22	M	CALL SPY 04/20/22 448 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LKYFL1	10	0.59	590.49	
BOUGHT	04/21/22	M	CALL SPY 04/20/22 448 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LKYFL1	10	0.40	400.49	
BOUGHT	04/21/22	M	CALL FB 04/22/22 210 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8NRNHQ2	5	3	1,500.25	
BOUGHT	04/21/22	M	CALL NIO 04/29/22 20 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPM3	5	0.45	225.25	
BOUGHT	04/21/22	M	CALL NIO 04/29/22 20 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPM3	5	0.60	300.25	

*April 1, 2022 - April 30, 2022*

PAGE 11 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	04/21/22	M	CALL NIO 04/29/22 20 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPM3	5	0.41	205.25	
SOLD	04/21/22	M	CALL SPY 04/20/22 448 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8LKYFL1	20	0.31		618.97
SOLD	04/21/22	M	CALL FB 04/22/22 210 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8NRNHQ2	5	3.38		1,689.73
SOLD	04/21/22	M	CALL NIO 04/29/22 20 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPM3	5	0.54		269.73
SOLD	04/21/22	M	CALL NIO 04/29/22 20 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPM3	5	0.432		215.73
BOUGHT	04/22/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.43	1,430.00	
BOUGHT	04/22/22	M	MULLEN AUTOMOTIVE INC COMMON STOCK CUSIP: 62526P109	1,000	1.3999	1,399.90	
SOLD	04/22/22	M	MULLEN AUTOMOTIVE INC COMMON STOCK CUSIP: 62526P109	1,000	1.4606		1,460.46

I N D I V I D U A L A C C O U N T

*April 1, 2022 - April 30, 2022*

PAGE 12 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	04/22/22	M	CALL NIO 04/29/22 20 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPM3	5	0.50		249.73
BOUGHT	04/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2	1.2985	2.60	
BOUGHT	04/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	140	1.2999	181.99	
BOUGHT	04/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	500	1.3399	669.95	
BOUGHT	04/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.3888	1,388.80	
BOUGHT	04/25/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.3585	1,358.50	
BOUGHT	04/26/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	358	1.2879	461.07	
BOUGHT	04/27/22	M	CALL SPY 04/27/22 422 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PNPHX0	5	3.02	1,510.25	
BOUGHT	04/27/22	M	CALL QQQ 04/29/22 325 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SPWJG5	5	4	2,000.25	

*April 1, 2022 - April 30, 2022*

PAGE 13 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	04/27/22	M	CALL QQQ 04/29/22 325 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SPWJG5	5	3.66	1,830.25	
BOUGHT	04/27/22	M	CALL QQQ 04/29/22 325 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SPWJG5	5	3.32	1,660.25	
SOLD	04/27/22	M	CALL SPY 04/27/22 422 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PNPHX0	5	3.23		1,614.73
SOLD	04/27/22	M	CALL QQQ 04/29/22 325 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SPWJG5	10	3.67		3,669.46
SOLD	04/27/22	M	CALL QQQ 04/29/22 325 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SPWJG5	5	4.37		2,184.71
BOUGHT	04/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	400	1.25	500.00	
BOUGHT	04/29/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	600	1.1885	713.10	
BOUGHT	04/29/22	M	CALL NIO 04/29/22 16 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPL5	5	0.65	325.25	

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*April 1, 2022 - April 30, 2022*

PAGE 14 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	04/29/22	M	PUT NIO 04/29/22 16 NIO INC ADS OPEN CONTRACT Security Number: 8SPVPL6	10	0.27	270.50	
BOUGHT	04/29/22	M	PUT SPY 04/29/22 427 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SPXDP8	1	2.24	224.05	
SOLD	04/29/22	M	CALL NIO 04/29/22 16 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPL5	5	0.65		324.71
SOLD	04/29/22	M	PUT NIO 04/29/22 16 NIO INC ADS CLOSING CONTRACT Security Number: 8SPVPL6	10	0.28		279.48
SOLD	04/29/22	M	PUT SPY 04/29/22 427 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SPXDP8	1	3.20		319.93
<b>Total Buy / Sell Transactions</b>						<b>\$40,101.12</b>	<b>\$32,579.09</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	04/21/22	M	ACH DEPOSIT SEN(20220421308576)				\$5,000.00
<b>Total Funds Paid And Received</b>							<b>\$5,000.00</b>



*April 1, 2022 - April 30, 2022*

PAGE 15 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>MISCELLANEOUS TRANSACTIONS</b>							
MKT	04/20/22	M	MARK TO MARKET			\$0.33	
MKT	04/20/22	S	MARK TO MARKET SHORT POS				0.33
<b>Total Miscellaneous Transactions</b>						<b>\$0.33</b>	<b>\$0.33</b>

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*April 1, 2022 - April 30, 2022*

PAGE 18 OF 20

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX

**Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*April 1, 2022 - April 30, 2022*

PAGE 17 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has

*April 1, 2022 - April 30, 2022*

PAGE 18 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

*April 1, 2022 - April 30, 2022*

PAGE 19 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

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*April 1, 2022 - April 30, 2022*

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PAGE 20 OF 20

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**  
44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

I N D I V I D U A L A C C O U N T

*May 1, 2022 - May 31, 2022*

PAGE 1 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

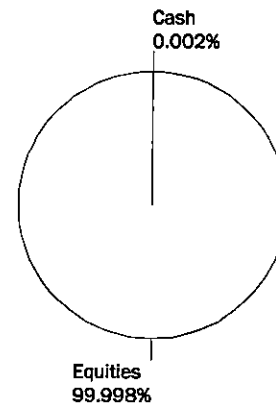
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$3,899.03	\$1.05
NET ACCOUNT BALANCE	3,899.03	1.05
Securities	31,200.00	68,417.28
TOTAL PRICED PORTFOLIO	31,200.00	68,417.28
<b>Total Equity Holdings</b>	<b>\$35,099.03</b>	<b>\$68,418.33</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC



**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 372-8800 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional insurance policy through a group of London Underwriters to supplement SIPC protection. This additional insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 15c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth in Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**



May 1, 2022 - May 31, 2022

PAGE 2 OF 12

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX



Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ▶ PORTFOLIO SUMMARY

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	35,634	\$1.92	\$68,417.28	\$31,200.00	119%		99.998%
<b>Total Equities</b>					<b>\$68,417.28</b>				<b>99.998%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$1.05</b>				<b>0.002%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$68,418.33</b>				

## ▶ ACCOUNT ACTIVITY

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	05/03/22	M	PUT QQQ 05/02/22 312 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8BSQXH0	5	\$1.66	\$830.25	
SOLD	05/03/22	M	PUT QQQ 05/02/22 312 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8BSQXH0	5	1.65		824.73
BOUGHT	05/04/22	M	PUT QQQ 05/04/22 316 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SRRNCO	5	3.44	1,720.25	

*May 1, 2022 - May 31, 2022*

PAGE 3 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	05/04/22	M	PUT QQQ 05/04/22 316 INVESTCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SRRNCO	5	2.78		1,389.73
BOUGHT	05/05/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.23	1,230.00	
BOUGHT	05/05/22	M	PUT SPY 05/06/22 419 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PKTBC1	5	1.91	955.25	
SOLD	05/05/22	M	PUT SPY 05/06/22 419 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PKTBC1	5	2.15		1,074.74
BOUGHT	05/06/22	M	PUT QQQ 05/06/22 322 INVESTCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8PKSQJ3	5	2.73	1,365.25	
SOLD	05/06/22	M	PUT QQQ 05/06/22 322 INVESTCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8PKSQJ3	5	2.98		1,489.73
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		

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CHRISTOPHER COX

PAGE 4 OF 12



**44 Wall Street, New York, NY 10005**  
**customerservice@webull.us**

## ▶ ACCOUNT ACTIVITY (CONTINUED)

[illegible]

*May 1, 2022 - May 31, 2022*

PAGE 5 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	05/09/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	1	0.0001		
BOUGHT	05/09/22	M	UWM HOLDINGS CORPORATION CLASS A COMMON STOCK CUSIP: 91823B109	1	0.0001		
BOUGHT	05/10/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.1791	1,179.10	
BOUGHT	05/10/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.1793	1,179.30	
BOUGHT	05/10/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.16	1,160.00	
SOLD	05/10/22	M	GENWORTH FINANCIAL INC COM CL A CUSIP: 37247D106	16	4.0124		64.18
SOLD	05/10/22	M	UWM HOLDINGS CORPORATION CLASS A COMMON STOCK CUSIP: 91823B109	1	3.7216		3.70

*May 1, 2022 - May 31, 2022*

PAGE 6 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	05/11/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	7	2.97	20.79	
BOUGHT	05/11/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	50	3.05	152.50	
BOUGHT	05/11/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	500	3.105	1,552.50	
BOUGHT	05/11/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	500	3.16	1,580.00	
SOLD	05/11/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	500	3.3608		1,680.32
BOUGHT	05/17/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.23	1,230.00	
BOUGHT	05/17/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.23	1,230.00	
BOUGHT	05/17/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	3	2.80	8.40	
BOUGHT	05/17/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	10	2.80	28.00	
SOLD	05/18/22	M	VINCO VENTURES INC COMMON STOCK CUSIP: 927330100	570	2.53		1,441.99

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*May 1, 2022 - May 31, 2022*

PAGE 7 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**

44 Wall Street, New York, NY 10005

customerservice@webull.us

**CHRISTOPHER COX**

## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	05/20/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	855	1.6887	1,443.84	
BOUGHT	05/23/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	1.67	1.67	
BOUGHT	05/27/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1	1.6782	1.68	
BOUGHT	05/27/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2,777	1.7999	4,998.32	
<b>Total Buy / Sell Transactions</b>						<b>\$21,867.10</b>	<b>\$7,969.12</b>
<b>FUNDS PAID AND RECEIVED</b>							
ACH	05/03/22	M	ACH DEPOSIT SEN(20220503210357)				\$2,500.00
ACH	05/13/22	M	ACH DEPOSIT SEN(20220512404535)				2,500.00
ACH	05/25/22	M	ACH DEPOSIT SEN(20220524341754)				5,000.00
<b>Total Funds Paid And Received</b>							<b>\$10,000.00</b>

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*May 1, 2022 - May 31, 2022*

PAGE 8 OF 12

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX

**Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request. **Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

May 1, 2022 - May 31, 2022

PAGE 9 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

**FDIC SWEEP PROGRAM**

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at [apexclearing.com/disclosures/](http://apexclearing.com/disclosures/)

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.



*May 1, 2022 - May 31, 2022*

PAGE 10 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us**CHRISTOPHER COX**► **ANNOUNCEMENTS (CONTINUED)**

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange

*May 1, 2022 - May 31, 2022*

PAGE 11 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>,

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except; 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

*May 1, 2022 - May 31, 2022*

PAGE 12 OF 12

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► **ANNOUNCEMENTS (CONTINUED)**

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get in Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

APEX CLEARING CORPORATION  
350 NORTH ST. PAUL SUITE 1300  
DALLAS, TX 75201



# Webull Financial LLC

44 Wall Street, New York, NY 10005

customerservice@webull.us

*June 1, 2022 - June 30, 2022*

PAGE 1 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**

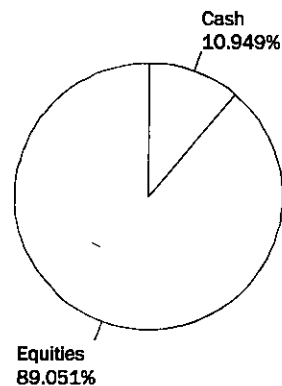
**Your Registered Representative**  
WEBULL FINANCIAL LLC - HOUSE  
(917) 725-2448

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE NC 27858-7237

## ACCOUNT SUMMARY

	OPENING BALANCE	CLOSING BALANCE
Margin account	\$1.05	\$5,000.60
NET ACCOUNT BALANCE	1.05	5,000.60
Securities	68,417.28	40,671.61
TOTAL PRICED PORTFOLIO	68,417.28	40,671.61
<b>Total Equity Holdings</b>	<b>\$68,418.33</b>	<b>\$45,672.21</b>

## PORTFOLIO EQUITY ALLOCATION



**See Reverse Side for Important Tax Information.** This statement shall be conclusive if not objected to in writing within ten days. Errors and omissions excepted. Please address all communications to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office servicing your account. Kindly mention your account number. This statement should be retained for income tax purposes.

ACCOUNT CARRIED BY:  
**APEX CLEARING CORPORATION**  
MEMBER FINRA, NYSE and SIPC

**IMPORTANT INFORMATION**

You may have received a confirmation for a trade, which does not appear on this statement. If the settlement date of the trade as shown on the confirmation is later than the period ending date that appears at the top of this statement the trade will appear on your next regular monthly statement.

If this is a margin account and we maintain a special miscellaneous account for you, this is a combined statement of your general account and special miscellaneous account maintained for you under Regulation T issued by the Board of Governors of the Federal Reserve System. The permanent record of the special miscellaneous account as required by Regulation T is available for your inspection at your request.

The per annum rate of interest charged on the debit balance in your account is shown on this statement. This rate may change from time to time in accordance with fluctuations in interest rates. Interest is computed from the 16<sup>th</sup> day of the preceding month to the 15<sup>th</sup> day of the current month except in December and January. In December, the charges include the last day of the year and, in January, the interest is calculated from the first day of the month. The interest is based on the average daily net debit balance in your account with us, and for the actual number of days based on an interest year of 360 days. When calculating margin interest, free credit balances in all accounts will be offset against any debit in the margin account and the interest will be charged on the net debit balance.

We are required to report to the Internal Revenue Service all cash dividends and registered bond interest credited to your account on securities held for you in our name. We also report coupon bond interest. All dividends and interest credits should be included in your income tax return.

Information relative to commission and any other charges incurred in connection with listed option transactions occurring during the month has previously been furnished to you in confirmation of such transactions. A summary of this information will be made available to you promptly upon request. Exercise assignment notices for option contracts are allocated among customer short positions pursuant to a manual procedure with randomly selects form among all customer short option positions including those contracts which are subject to exercise. All short American style option positions are liable for assignment at any time whereas European style options are assigned at expiration. A more detailed description of our random allocation procedure is available upon request.

You are to promptly advise your brokerage firm or bank of any material changes concerning your investment objectives or financial situation.

Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

**SIPC Protection.** As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org). Apex has purchased an additional Insurance policy through a group of London Underwriters to supplement SIPC protection. This additional Insurance policy becomes available to customers in the event that SIPC limits are exhausted and provides protection for securities and cash up to certain limits. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities.

Any free credit balance represents funds payable upon demand which, although properly accounted for on our books of records, is not segregated, and may be used in the conduct of this firm's business as permissible under the SEC Rule 1.5c3-2.

**NOTICE TO CUSTOMERS**

Apex is a member of the New York Stock Exchange and various other exchanges. Apex acts as clearing agent for your trades.

As required under SEC rules, both the Firm's Order Routing Reports as well as information regarding specific order routing information is available free of charge upon request.

Your account, which was introduced to us by your broker or bank, is established under your name on a "fully disclosed" basis at Apex. As a clearing agent, we provide securities clearance and may provide order execution on you broker's or bank's instructions.

You will remain a customer of your broker or bank. Apex will not be involved with or have any responsibility for decisions regarding securities transactions in your account. Your broker or bank will be responsible for opening, approving and monitoring all activities in connection with your account. The entry of orders, and any instructions regarding the deposit or withdrawal of securities or monies should be made through your broker or bank.

In addition to the above mentioned services, Apex will provide cashing services, safeguarding of funds and securities while in Apex's possession, monitoring compliance with applicable credit Regulation T and Apex's internal policies, preparing and mailing your account records (including transaction confirmations and periodic statements of your account).

Interest charges to your account will be based on the size and net debit balance during the interest period. These rates are subject to revision without notice in accordance with any changes in the broker call loan rate, as published in the Wall Street Journal. For more complete information regarding interest charged to customers, consult the Truth In Lending Notice which is made available through your broker or bank.

Apex is a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and we are required to inform you of the availability of the FINRA Investor Brochure, which contains information on FINRA BrokerCheck. You may contact FINRA at 800-289-9999 or at their website at [www.finra.org](http://www.finra.org). Apex carries your account and acts as your custodian for funds and securities deposited with us directly by you, through your brokerage firm or bank or as a result of transactions we process for your account. Any suspected inaccuracy or discrepancy in your account statement must be promptly reported to both your brokerage firm or bank (not to your individual broker or agent) and Apex. In order to protect your rights, including your right to SIPC coverage, please confirm any oral communication in writing and include your brokerage account number. General inquiries or concerns regarding your account should be directed to your brokerage firm or bank. Account positions and balance inquiries or concerns should be directed to Apex by telephone at 214-765-1009.

**ACCOUNT SUMMARY:**

Displays applicable account type balance, money fund balances, priced portfolio value, and total account equity as of the opening and closing of the statement period. Priced Portfolio Value and Total Portfolio Equity are rounded to the nearest dollar. Total Priced Portfolio and Expense does not include unpriced securities.

**INCOME AND EXPENSE SUMMARY:**

Lists all income earned during the current statement period, as well as year to date. Section includes taxable and non-taxable dividends and interest, capital gains and MLP (Master Limited Partnership) distributions. This section also displays and Margin Interest Expenses.

**PORTFOLIO EQUITY ALLOCATION:**

The Pie Chart is an estimate for illustrative purposes only.

**PORTFOLIO SUMMARY:**

Lists all securities held in your account.

**MARKET VALUE:**

This amount represents the value of the security position in your portfolio based on appraisals obtained from the various quotation services. These appraisals are based on the closing prices, bond yields and/or the mean bid and ask on the last day of the statement period. Because of the nature of the data provided by the quotation services, we cannot guarantee the accuracy of such prices or the valuation dates particularly in the case of inactive or infrequently traded securities.

Some securities in your portfolio may be listed as "Unpriced" on your statement. We use an automated pricing service from an outside vendor and certain prices may not be available to them. You can obtain a current quotation, upon request, from your broker or bank.

Bond prices might differ from current market quotes. Similarly, bond ratings may differ from current actual ratings. Computerized pricing and rating services are often unable to supply us with up to the minute information. Your broker or bank will be pleased to obtain a current quotation upon request.

**ESTIMATED ANNUAL INCOME**

The current annual dividend or bond interest rate for each security held, if available from quotation services. The rate is multiplied by the number of shares or par value of bonds to determine estimated annual income.

**OPEN ORDERS:**

Displays all GTC (Good-Till-Cancelled) orders in your account. Also included in the section are GTX orders (GTC orders eligible for extended trading hours).

**MONEY MARKET ACTIVITY:**

Purchases, reinvestments and liquidations of money market funds, plus redemptions of money market fund checks.

**DEFINITION OF ACCOUNT TYPES:** C=Cash, M=Margin, I=Income, L=Legal, S=Short, X=RVP/DVP, and O=Other

**REALIZED GAIN/LOSS DETAIL AND PORTFOLIO SUMMARY SECTIONS:**

Displays mutual funds by average cost and other securities by individual tax lot. Realized gains (losses) are reflected on a trade date basis for transactions settling during the current period or the period in which the shares were received, if later. Realized gains and losses may include transactions that settle during the following statement cycle. These transactions appear in the Portfolio Holdings section. Estimated unrealized gains (losses) are displayed for most securities currently held. The cost basis used in determining gains (losses) does not reflect wash sales and may not reflect all capital adjustments. Most exchanges reflected on this statement are treated as non-taxable, unless or until other information has been communicated to us. Cost basis of preferred securities with original issue discount ("OID") is not adjusted for the accretion of OID. For most long positions transferred between beneficial owners, the transferor's cost basis will be retained. For shares acquired from a decedent, you should consult your tax advisor to determine the appropriate valuations and holding period that applies. ALTHOUGH THE COST BASIS SHOWN MAY HAVE BEEN ADJUSTED, YOUR COST BASIS MAY REQUIRE ADDITIONAL ADJUSTMENTS. NOTE: WE DO NOT REPRESENT THE CALCULATIONS OF REALIZED AND UNREALIZED GAINS (LOSSES) AS AN OFFICIAL TAX ACCOUNTING OF SUCH FIGURES. FOR TAX PURPOSES, YOU SHOULD RELY ON YOUR OWN RECORDS AND THE CONSOLIDATED FORM 1099 SENT TO YOU.

**Order Routing:**

The SEC requires all broker-dealers that route orders in equity securities and options to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which customer orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues. In addition, the Rule (SEC 606) requires broker-dealers to disclose, on customer request, the venues to which the individual customer's orders were routed for the six months prior to the request, and the execution time for the orders that were executed. For further information, please contact your broker or financial advisor.

**PLEASE RETAIN THIS STATEMENT AS IT WILL BE HELPFUL IN PREPARING YOUR INCOME TAX RETURNS AND MAY BE NEEDED ALONG WITH SUBSEQUENT STATEMENTS TO VERIFY INTEREST CHARGES IN YOUR ACCOUNT. THIS STATEMENT SHALL BE DEEMED CONCLUSIVE UNLESS OBJECTED TO IN WRITING WITHIN 10 BUSINESS DAYS OF THE STATEMENT CLOSING DATE.**

**MUTUAL FUNDS AND OTHER SECURITIES ARE NOT INSURED BY THE FDIC, ARE NOT DEPOSITS OR OBLIGATIONS OF, OR GUARANTEED BY APEX, AND INVOLVE INVESTMENT RISKS, INCLUDING THE POSSIBLE LOSS OF THE PRINCIPAL AMOUNT INVESTED.**

*June 1, 2022 - June 30, 2022*

PAGE 2 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **PORTFOLIO SUMMARY**

DESCRIPTION	SYMBOL/ CUSIP	ACCOUNT TYPE	QUANTITY	PRICE	MARKET VALUE	LAST PERIOD'S MARKET VALUE	% CHANGE	EST. ANNUAL INCOME	% OF TOTAL PORTFOLIO
<b>EQUITIES / OPTIONS</b>									
META MATLS INC COMMON STOCK	MMAT	M	39,487	\$1.03	\$40,671.61	\$68,417.28	-41%		89.051%
<b>Total Equities</b>					<b>\$40,671.61</b>				<b>89.051%</b>
<b>Total Cash (Net Portfolio Balance)</b>					<b>\$5,000.60</b>				<b>10.949%</b>
<b>TOTAL PRICED PORTFOLIO</b>					<b>\$45,672.21</b>				

▶ **ACCOUNT ACTIVITY**

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b>							
BOUGHT	06/09/22	M	CALL NFLX 06/10/22 210 NETFLIX INC OPEN CONTRACT Security Number: 8PRRHL5	1	\$1.70	\$170.05	
BOUGHT	06/09/22	M	PUT SPY 06/10/22 408 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SQWNS7	2	2.40	480.10	
BOUGHT	06/09/22	M	CALL TSLA 06/10/22 760 TESLA INC OPEN CONTRACT Security Number: 8SQXCQ8	1	8.65	865.05	

*June 1, 2022 - June 30, 2022*

PAGE 3 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/09/22	M	PUT SPY 06/08/22 412 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SRCNB4	2	0.98	196.10	
BOUGHT	06/09/22	M	PUT SPY 06/08/22 414 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SRCNB6	2	1.08	216.10	
SOLD	06/09/22	M	CALL NFLX 06/10/22 210 NETFLIX INC CLOSING CONTRACT Security Number: 8PRRHL5	1	1.60		159.93
SOLD	06/09/22	M	PUT SPY 06/10/22 408 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SQWNS7	2	1.82		363.88
SOLD	06/09/22	M	CALL TSLA 06/10/22 760 TESLA INC CLOSING CONTRACT Security Number: 8SQXCQ8	1	9.10		909.91
SOLD	06/09/22	M	PUT SPY 06/08/22 412 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SRCNB4	2	1.01		201.88
SOLD	06/09/22	M	PUT SPY 06/08/22 414 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SRCNB6	2	1.11		221.87

*June 1, 2022 - June 30, 2022*

PAGE 4 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/10/22	M	CALL SPY 06/10/22 410 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SQWNS1	1	1.85	185.05	
BOUGHT	06/10/22	M	CALL SPY 06/10/22 410 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SQWNS1	1	2.30	230.05	
BOUGHT	06/10/22	M	PUT QQQ 06/10/22 303 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SVHDF9	1	2.21	221.05	
SOLD	06/10/22	M	CALL SPY 06/10/22 410 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SQWNS1	1	1.75		174.93
SOLD	06/10/22	M	CALL SPY 06/10/22 410 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SQWNS1	1	2.34		233.93
SOLD	06/10/22	M	PUT QQQ 06/10/22 303 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SVHDF9	1	2.24		223.93
BOUGHT	06/13/22	M	CALL QQQ 06/10/22 290 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SQVWN2	1	2.23	223.05	

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*June 1, 2022 - June 30, 2022*

PAGE 5 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/13/22	M	CALL QQQ 06/10/22 290 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SQVWN2	1	1.86		185.93
BOUGHT	06/14/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	366	1.5099	552.62	
BOUGHT	06/14/22	M	CALL QQQ 06/13/22 279 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8LJKVSB	1	1.26	126.05	
BOUGHT	06/14/22	M	PUT META 06/17/22 165 META PLATFORMS INC CL A OPEN CONTRACT Security Number: 8PSMJH5	1	3.70	370.05	
BOUGHT	06/14/22	M	CALL SPY 06/13/22 378 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTK0	2	1.49	298.10	
BOUGHT	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTK2	1	1.35	135.05	
BOUGHT	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTK2	1	1.21	121.05	

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*June 1, 2022 - June 30, 2022*

PAGE 8 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTK2	1	1.72	172.05	
SOLD	06/14/22	M	CALL QQQ 06/13/22 279 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8LJKVS8	1	1.29		128.93
SOLD	06/14/22	M	PUT META 06/17/22 165 META PLATFORMS INC CL A CLOSING CONTRACT Security Number: 8PSMJH5	1	3.95		394.93
SOLD	06/14/22	M	CALL SPY 06/13/22 378 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTK0	2	1.51		301.87
SOLD	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTK2	1	1.12		111.93
SOLD	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTK2	1	1.50		149.93
SOLD	06/14/22	M	CALL SPY 06/13/22 379 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTK2	1	1.78		177.93

I N D I V I D U A L A C C O U N T

*June 1, 2022 - June 30, 2022*

PAGE 7 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/15/22	M	CALL SPY 06/15/22 375 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SRWXJ1	1	3.11	311.05	
BOUGHT	06/15/22	M	PUT SPY 06/15/22 372 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTP5	1	3.01	301.05	
BOUGHT	06/15/22	M	PUT SPY 06/15/22 373 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTP7	1	3.51	351.05	
BOUGHT	06/15/22	M	CALL SPY 06/15/22 377 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SSYTQ0	1	3.47	347.05	
SOLD	06/15/22	M	CALL SPY 06/15/22 375 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SRWXJ1	1	2.98		297.93
SOLD	06/15/22	M	PUT SPY 06/15/22 372 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTP5	1	3.06		305.93
SOLD	06/15/22	M	PUT SPY 06/15/22 373 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTP7	1	3.51		350.93

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*June 1, 2022 - June 30, 2022*

PAGE 8 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/15/22	M	CALL SPY 06/15/22 377 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SSYTQ0	1	3.24		323.93
BOUGHT	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SSXW7	2	2.04	408.10	
BOUGHT	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SSXW7	4	2.49	996.20	
BOUGHT	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SSXW7	4	2.34	936.20	
BOUGHT	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SSXW7	4	2.34	936.20	
BOUGHT	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 OPEN CONTRACT Security Number: 8SSXW7	4	2.21	884.20	
BOUGHT	06/16/22	M	CALL AMZN 06/24/22 110 AMAZON.COM INC ADJ 20:1 STOCK SPLIT OPEN CONTRACT Security Number: 8STZDH7	4	2.15	860.20	

I N D I V I D U A L A C C O U N T

*June 1, 2022 - June 30, 2022*

PAGE 9 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
SOLD	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SSXW7	9	2.34		2,105.48
SOLD	06/16/22	M	PUT QQQ 06/15/22 278 INVESCO QQQ TRUST SERIES 1 CLOSING CONTRACT Security Number: 8SSXW7	9	2.46		2,213.47
SOLD	06/16/22	M	CALL AMZN 06/24/22 110 AMAZON.COM INC ADJ 20:1 STOCK SPLIT CLOSING CONTRACT Security Number: 8STZDH7	4	2.30		919.76
BOUGHT	06/17/22	M	CALL SPY 06/17/22 371 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8LJQRG1	4	2.55	1,020.20	
BOUGHT	06/17/22	M	PUT SPY 06/17/22 366 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SRWXT8	4	2.90	1,160.20	
SOLD	06/17/22	M	CALL SPY 06/17/22 371 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8LJQRG1	4	2.70		1,079.76
SOLD	06/17/22	M	PUT SPY 06/17/22 366 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SRWXT8	4	3.05		1,219.76

*June 1, 2022 - June 30, 2022*

PAGE 10 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/22/22	M	PUT SPY 06/21/22 372 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8STKYM1	10	1.28	1,280.49	
SOLD	06/22/22	M	PUT SPY 06/21/22 372 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8STKYM1	10	1.34		1,339.45
BOUGHT	06/23/22	M	CALL SPY 06/22/22 373 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8GDNPB7	4	1.37	548.20	
BOUGHT	06/23/22	M	CALL AAPL 06/24/22 140 APPLE INC OPEN CONTRACT Security Number: 8SRDFY4	4	0.79	316.20	
SOLD	06/23/22	M	CALL SPY 06/22/22 373 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8GDNPB7	4	1.38		551.74
SOLD	06/23/22	M	CALL AAPL 06/24/22 140 APPLE INC CLOSING CONTRACT AVERAGE PRICE TRADE DETAILS AVAILABLE UPON REQUEST Security Number: 8SRDFY4	4	0.6875		274.77
BOUGHT	06/24/22	M	CALL SPY 06/24/22 378 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8SRTP7	1	1.79	179.05	

*June 1, 2022 - June 30, 2022*

PAGE 11 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
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## ► ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>BUY / SELL TRANSACTIONS</b> (continued)							
BOUGHT	06/24/22	M	CALL AMZN 07/01/22 113 AMAZON.COM INC ADJ 20:1 STOCK SPLIT OPEN CONTRACT Security Number: 8STZFY9	4	2.59	1,036.20	
SOLD	06/24/22	M	CALL SPY 06/24/22 378 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8SRTP7	1	1.81		180.93
SOLD	06/24/22	M	CALL AMZN 07/01/22 113 AMAZON.COM INC ADJ 20:1 STOCK SPLIT CLOSING CONTRACT Security Number: 8STZFY9	4	2.65		1,059.76
BOUGHT	06/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2	1.1999	2.40	
BOUGHT	06/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	485	1.1999	581.95	
BOUGHT	06/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	1,000	1.248	1,248.00	
BOUGHT	06/28/22	M	META MATLS INC COMMON STOCK CUSIP: 59134N104	2,000	1.45	2,900.00	
<b>Total Buy / Sell Transactions</b>						<b>\$21,165.76</b>	<b>\$16,165.31</b>

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*June 1, 2022 - June 30, 2022*

PAGE 12 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**

44 Wall Street, New York, NY 10005

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## ▶ ACCOUNT ACTIVITY (CONTINUED)

TRANSACTION	DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
<b>FUNDS PAID AND RECEIVED</b>							
ACH	06/03/22	M	ACH DEPOSIT SEN(20220603371842)				\$5,000.00
ACH	06/24/22	M	ACH DEPOSIT SEN(20220624402832)				5,000.00
<b>Total Funds Paid And Received</b>							<b>\$10,000.00</b>

## ▶ EXECUTED TRADES PENDING SETTLEMENT - THESE TRANSACTIONS MAY NOT BE REFLECTED IN OTHER SUMMARIES

TRANSACTION	TRADE DATE	SETTLEMENT DATE	ACCOUNT TYPE	DESCRIPTION	QUANTITY	PRICE	DEBIT	CREDIT
BOUGHT	06/30/22	07/01/22	M	CALL SPY 06/30/22 380 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8PWZXM5	4	\$0.29	\$116.20	
SOLD	06/30/22	07/01/22	M	CALL SPY 06/30/22 380 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8PWZXM5	-4	0.29		115.78
BOUGHT	06/30/22	07/01/22	M	PUT SPY 06/30/22 373 STANDARD & POORS DEPOSITORY OPEN CONTRACT Security Number: 8STTXP2	4	1.15	460.20	
SOLD	06/30/22	07/01/22	M	PUT SPY 06/30/22 373 STANDARD & POORS DEPOSITORY CLOSING CONTRACT Security Number: 8STTXP2	-4	1.21		483.77
<b>Total Executed Trades Pending Settlement</b>							<b>\$576.40</b>	<b>\$599.55</b>



June 1, 2022 - June 30, 2022

PAGE 13 OF 17

ACCOUNT NUMBER 5MU-73363-13 RR WEA

CHRISTOPHER COX



Webull Financial LLC

44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS

**IMPORTANT INFORMATION****Statement of Financial Condition**

A copy of Apex Clearing Corporation's Unaudited Statement of Financial Condition as of June 30, 2021 is available on the website at [www.apexclearing.com/disclosures/](http://www.apexclearing.com/disclosures/). A copy may also be obtained at no cost by calling Apex Clearing Corporation. As of June 30, 2021, Apex Clearing Corporation had a net capital of \$407,242,025 and was \$359,371,347 in excess of its required net capital of \$47,870,678. As of July 31, 2021, Apex Clearing Corporation had a net capital of \$416,271,626 and was \$370,434,309 in excess of its required net capital of \$45,837,317.

**Apex's Policy for Dividends and Interest**

Apex's policy is to pay all dividends and interest in US Dollars. Apex will allow the following countries to be paid in their foreign currency (Canadian Dollars, British Pounds, Euros, Argentine Peso, Chinese Renminbi, Korean Won, Philippine Peso and Brazilian Real).

**Participation in Fully Paid Lending Program**

Customers participating in the Fully-Paid Securities Lending Program should be aware that shares on loan are not covered by FDIC or SIPC. Cash securities collateralizing shares are held at JP Morgan Chase & Co. and not subject to FDIC or SIPC protections. Please consult the Master Securities Lending Agreement for additional information.

**Information Regarding Cost Basis for Foreign Account Statements**

Foreign Currency: Cost basis is required to be reported in U.S. dollars for tax purposes. It is the responsibility of the account holder to convert sales proceeds paid in foreign currency to U.S. dollars to avoid inaccurate cost basis calculations. When reporting the purchase or sale, you must determine the U.S. dollar amounts to be reported as of the settlement date, at the spot rate or by following a reasonable spot rate convention. See Regulations section 1.6045-1(d)(8).

**Payment of Interest to holders of Municipal Securities** - you may be subject to a substitute interest payment if the transfer of ownership of your municipal security has not been completed prior to the next interest payment. Please contact a tax professional for more specific details.

**IMPORTANT INFORMATION**

To our valued customers:

FINRA Rule 2231 requires that we advise you to promptly report any inaccuracy or discrepancy in your account (within 10 days after available) to your brokerage firm and clearing firm (where these are different firms) and to re-confirm any oral communications in writing.

<https://www.finra.org/rules-guidance/notices/06-72>

**"IMPORTANT - Part of your distribution includes a return of capital. Any distribution that represents a return of capital reduces the estimated per share value shown on your account statement."**

The preceding notice is required when reporting distributions on Direct Participation Programs and/or REITs and is subject to the DPP or REIT sponsor's final capital return determination as detailed in the IRS Form 1099 or K-1, as applicable.

Alternative or Other Investments, DPP, and Unlisted securities are not listed on a national securities exchange, are generally illiquid and that, even if a customer is able to sell the securities, the price received may be less than the per share estimated value provided in the account. The evaluation method used for any particular DPP or REIT will be provided to clients upon request.

**Certain positions are not held on Apex's books or custodied by Apex and are not Protected by SIPC.**

Pursuant to SEC Rule 606, Apex Clearing Corporation is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can

*June 1, 2022 - June 30, 2022*

PAGE 14 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us

## ► ANNOUNCEMENTS (CONTINUED)

be accessed on the Internet at: <http://public.s3.com/rule606/apex/>, or a written copy will be furnished at no cost upon request via telephone to (214) 765-1009.

SEC Rule 606 (b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders."

In accordance with the Emergency Economic Stabilization Act of 2008 broker-dealers are required to track and report cost basis to the IRS in three phases over the next three years.

- Equity securities acquired on or after January 1, 2011.
- Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after January 1, 2012:
- Debit securities, options, and all other financial instruments acquired on or after January 1, 2014. (The IRS has extended this date from the previously announced date of January 1, 2013.)

Beginning this upcoming tax reporting season the cost basis of any covered equity security transaction (purchased after 12/31/10) that is required to be reported on a 1099-B will include its associated cost basis. If you have any questions about this important change to the IRS mandated reporting requirements, please contact your broker-dealer or registered advisor.

**IMPORTANT INFORMATION CONTINUED**

Please take note of the following description of Apex Clearing Corporation's excess SIPC coverage, which reflects certain changes made to the coverage effective August 8, 2013. The Securities Investor Protection Corporation ("SIPC") protects certain customer funds up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. **Please note SIPC does not cover commodity contracts and options on futures.** For additional information regarding SIPC coverage, including a brochure, please contact SIPC at (202) 371-8300 or visit [www.sipc.org](http://www.sipc.org).

Apex has purchased an additional insurance policy to supplement SIPC protection. This additional insurance policy, widely known as "excess SIPC," becomes available to customers in the event that SIPC limits are exhausted. This additional insurance provides protection for securities and cash up to an aggregate limit of \$150 million, subject to sub-limits for any one customer of \$37.5 million for securities and \$900,000 for cash. Similar to SIPC protection, this additional insurance does not protect against a loss in the market value of securities. For additional information, please contact your broker.

NOTE: Occasionally, Apex Clearing Corporation's bank deposit sweep program banks ("Program Banks") may be added or removed from the Program Bank List, which is available on Apex's website. Apex will, to the extent possible, update the Program Bank List with any added Program Banks at least 30 calendar days before making deposits. If a Program Bank is removed from Apex Clearing Corporation's bank deposit sweep program (the "Program"), it will no longer be able to receive sweeps of your excess cash balance. If any of your excess cash balance is at a Program Bank that is removed from the Program, Apex will transfer those funds into another Program Bank still in the Program or into your Apex Account, at Apex's discretion. You may contact your broker to specify any Program Banks into which you do not wish your excess cash balance to be swept. Please note that if there are insufficient Program Banks available in the Program, taking into account any from which you have opted out, such that not all of your excess cash balance can be spread among Program Banks to ensure FDIC coverage, then some or all of your excess cash balance may remain dormant in your Apex Account or may be deposited at a Program Bank but not covered by FDIC insurance. You may obtain additional information on each Program Bank at [www.fdic.gov](http://www.fdic.gov). You are solely responsible for monitoring the total amount of your assets on deposit with each Program Bank (including non-Program funds and accounts) in order to determine the extent of FDIC insurance coverage available to you on those deposits, including Program deposits. Apex shall not take into account any money you have on deposit at a Program Bank outside of the Program. A current Program Bank List and current Insured Deposits Terms and Conditions may be found at [apexclearing.com/disclosures/](http://apexclearing.com/disclosures/)

**FDIC SWEEP PROGRAM**

For customers with balances in a bank deposit account as part of the FDIC Sweep Program or shares of a money market mutual fund in which you have a beneficial interest, those balances or shares may be liquidated on your order and the proceeds returned to your account or remitted to you in accordance with the applicable prospectus and/or Terms and Conditions of the program.

*June 1, 2022 - June 30, 2022*

PAGE 15 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us▶ **ANNOUNCEMENTS (CONTINUED)**

For customers participating in the FDIC Sweep Program, the FDIC Sweep Program allows your cash balance to be eligible for insurance protection through the FDIC up to the maximum applicable insurance limits. Customers may obtain information about FDIC, by contacting the FDIC at 1-877-275-3342, 1-800-925-4618 (TDD) or by visiting [www.fdic.gov](http://www.fdic.gov). Deposit Account balances in the FDIC Sweep Program are not protected by SIPC or any other excess coverage by Apex Clearing Corporation. Deposit Account balances are protected as established by current applicable laws regulated by the FDIC.

Customers may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300 or by visiting [www.SIPC.org](http://www.SIPC.org).

**IMPORTANT INFORMATION****APEX CLEARING CORPORATION DISCLOSURE STATEMENT**

Apex Clearing Corporation ("Apex") recognizes the importance of providing information on an ongoing basis to the customers whose accounts are cleared through Apex. Your broker/dealer has designated Apex as its clearing firm. In accordance with industry rules and regulations, Apex is required to disclose on an annual basis certain important regulatory notices and disclosures. To comply with these requirements, Apex has published an Annual Disclosure Statement which is available on the Apex corporate web site, [www.apexclearing.com](http://www.apexclearing.com). For customers who do not have access to the internet please call Apex at 214-765-1009 and request a complete copy of the Annual Disclosure Statement be mailed to your address of record.

A brief summary of the content of the Annual Disclosure Statement is as follows:

- Anti-Money Laundering - Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.
- Privacy Policy - The privacy of customers is a responsibility which Apex respects and protects for former customers as well as current customers.
- Margin Disclosure Statement: FINRA Rule 2264 - The Information furnished provides basic facts about purchasing securities on margin and alerts customers of certain risks involved in trading securities in a margin account.
- Day-Trading Risk Disclosure Statement: FINRA Rule 2270 - Information to be considered before engaging in a day-trading strategy.
- Business Continuity Plan: FINRA Rule 4370 - A further summary of Apex's Disaster Recovery Plan to reasonable ensure business continuity.
- SEC Rule 606 and 607 (Payment for Order Flow and Order Routing Information) - (Rule 606) Requires Apex to make public a quarterly report with regard to routing of non-directed orders and (Rule 607) Requires Apex to disclose its payment for order flow practices.
- SEC Rule 10b-10 - Requires customers are provided with prior written notification of certain transactions that are not reported immediately through a trade confirmation.
- SIPC Information: FINRA Rule 2266 - The Securities Investor Protection Corporation ("SIPC") requires that funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For more information about SIPC coverage or to receive a brochure, please visit the SIPC website at [www.sipc.org](http://www.sipc.org) or, call (202) 371-8300.
- Investor Education and Protection: FINRA Rule 2267 - Requires Apex to provide information about FINRA's BrokerCheck program. The investor brochure may be obtained from FINRA BrokerCheck hotline number (800) 289-9999 or the FINRA web site address [www.FINRA.org](http://www.FINRA.org).
- Joint NASD Industry Breakpoint Task Force - A further summary of a July 2003 report which recommends written disclosure regarding mutual fund breakpoints.
- Carrying Agreements: FINRA Rule 4311 - The firm with which you have opened your securities account has retained Apex to provide certain record keeping, clearance, and settlement functions. A further summary of details is disclosed.
- Extended Hours Trading Risk Disclosure: FINRA Rule 2265 - Risks to consider include lower liquidity, higher volatility, changing prices, unlinked markets, news announcements, wider spreads, and lack of calculation.
- Liens and Levies - Apex will abide by the directions of federal, state, or other levying authorities.
- Regulation E - Disclosure regarding certain electronic transfers is required under the provisions of this regulation as issued by the Board of Governors of the Federal Reserve System.
- Municipal Securities Rulemaking Board ("MSRB") Rule G-10 requires an annual notification that 1) Apex Clearing Corporation is registered with the U.S. Securities and Exchange

I N D I V I D U A L A C C O U N T

*June 1, 2022 - June 30, 2022*

PAGE 16 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA****CHRISTOPHER COX****Webull Financial LLC**44 Wall Street, New York, NY 10005  
customerservice@webull.us► **ANNOUNCEMENTS (CONTINUED)**

Commission and the Municipal Securities Rulemaking Board, 2) the MSRB publishes an investor brochure that is published on their website that describes the protections that may be provided by the MSRB and how to file a complaint with the regulatory authorities and 3) a copy of the MSRB Investor Brochure as well as information regarding prospective, new and existing MSRB rules may be found on the MSRB website by going to the following link: <http://www.msrb.org/>.

**IMPORTANT INFORMATION - Privacy Policy**

Apex Clearing Corporation ("Apex") carries your account as a clearing broker by arrangement with your broker-dealer or registered investment advisor as Apex's introducing client. At Apex, we understand that privacy is an important issue for customers of our introducing firms. It is our policy to respect the privacy of all accounts that we maintain as clearing broker and to protect the security and confidentiality of non-public personal information relating to those accounts. Please note that this policy generally applies to former customers of Apex as well as current customers.

**Personal Information Collected**

In order to service your account as a clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. The information collected by your introducing firm and provided to Apex or otherwise obtained by Apex may come from the following sources and is not limited to:

- Information included in your applications or forms, such as your name, address, telephone number, social security number, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports;
- Information relating to your creditworthiness;
- Information which may be received from other sources with your consent or with the consent of your introducing firm.

In addition to servicing your account, Apex may make use of your personal information for analysis purposes, for example, to draw conclusions, detect patterns or determine preferences.

**Sharing of Nonpublic Personal Information**

Apex does not disclose non-public personal information relating to current or former customers of introducing firms to any third parties, except as required or permitted by law, including but not limited to any obligations of Apex under the USA PATRIOT Act, and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. We may share information among our affiliates and third parties, as permitted by law, in order to better service your financial needs and to pursue legitimate business interests, including to carry out, monitor and analyze our business, systems and operations.

**Security**

Apex strives to ensure that our systems are secure and that they meet industry standards. We seek to protect non-public personal information that is provided to Apex by your introducing firm or otherwise obtained by Apex by implementing physical and electronic safeguards. Where we believe appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to systems and data. Apex endeavors to ensure that third party service providers who may have access to non-public personal information are following appropriate standards of security and confidentiality. Further, we instruct our employees to use strict standards of care in handling the personal financial information of customers. As a general policy, our staff will not discuss or disclose information regarding an account except: 1) with authorized personnel of your introducing firm, 2) as required by law or pursuant to regulatory request, or 3) as authorized by Apex to a third party or affiliate providing services to your account or pursuing Apex's legitimate business interests.

*June 1, 2022 - June 30, 2022*

PAGE 17 OF 17

ACCOUNT NUMBER **5MU-73363-13 RR WEA**

**CHRISTOPHER COX**



**Webull Financial LLC**

44 Wall Street, New York, NY 10005  
customerservice@webull.us

► ANNOUNCEMENTS (CONTINUED)

**Access to Your Information**

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

**IMPORTANT INFORMATION - Privacy Policy - CONTINUED**

Apex may use "cookies" in order to provide better service, to facilitate its customers' use of the website, to track usage of the website, and to address security hazards. A cookie is a small piece of information that a website stores on a personal computer, and which it can later retrieve.

**Changes to Apex's Privacy Policy**

Apex reserves the right to make changes to this policy.

**How to Get In Touch with Apex about this Privacy Policy**

For reference, this Privacy Policy is available on our website at [www.apexclearing.com](http://www.apexclearing.com). For more information relating to Apex's Privacy Policy or to limit our sharing of your personal information, please contact:

Apex Clearing Corporation  
Attn: Compliance Department 350 N. St. Paul St., Suite 1300  
Dallas, Texas 75201  
[cs@apexclearing.com](mailto:cs@apexclearing.com)

**Apex Clearing**

One Dallas Center  
350 North St Paul, Ste 1300  
Dallas, TX 75201

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**(888) 828-0618**

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE, NC 27858-7237

**IMPORTANT YEAR END MESSAGES**

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITS), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

<b>Apex Clearing</b> One Dallas Center 350 North St Paul, Ste 1300 Dallas, TX 75201 Customer Service: 214-765-1009 Payer's Federal ID No: 13-2967453 IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> (888) 828-0618	<b>Account 5MU73363</b> CHRISTOPHER COX 2882 MADISON GROVE ROAD GREENVILLE, NC 27858-7237 RECIPIENT'S ID No: XXX-XX-3031	<b>Form 1099 Composite</b> <b>2022</b> Statement Date: 02/08/2023 <input type="checkbox"/> Corrected
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FATCA filing Requirement ☐**Tax Reporting Statement**

Dividends and Distributions	2022 Form1099DIV	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 Gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
2e- Section 897 ordinary dividends	0.00	
2f- Section 897 capital gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign Tax Paid	0.00	
8- Foreign Country or U.S. Possessions		
9- Cash Liquidation Distribution	0.00	
10- Noncash Liquidation Distributions	0.00	
12- Exempt-Interest Dividends	0.00	
13- Specified Private Activity Bond Interest Dividends	0.00	

Interest Income	2022 Form1099INT	OMB No. 1545-0112
1- Interest Income	24.10	
2- Early Withdrawal Penalty	0.00	
3- Interest on US Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

Miscellaneous Information	2022 Form1099MISC	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2022 Form1099B	OMB No. 1545-0715
8- Profit or (loss) realized in 2022 on closed contracts	-263.53	
9- Unrealized profit or (loss) on open contracts - 12/31/2021	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2022	0.00	
11- Aggregate profit or (loss) on contracts	-263.53	
As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.		

\* This is Important tax Information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns. Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

C - Corrected



Apex Clearing

**Tax Summary**

2022

5MU73363

02/08/2023

**Summary Of Sale Proceeds**

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Market Discount	Total Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	255,227.79	279,304.13	0.00	25,662.60	1,586.26
Short-term transactions for noncovered tax lots	220.48	220.20	0.00	0.00	0.28
<b>Total Short-term</b>	<b>255,448.27</b>	<b>279,524.33</b>	<b>0.00</b>	<b>25,662.60</b>	<b>1,586.54</b>
Long-term transactions for covered tax lots	5,195.68	31,546.71	0.00	32.70	-26,318.33
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>5,195.68</b>	<b>31,546.71</b>	<b>0.00</b>	<b>32.70</b>	<b>-26,318.33</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**Original Issue Discount**

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount - Covered Positions	0.00
Acquisition Premium - Covered Positions	0.00
Bond Premium - Covered Positions	0.00
Tax-Exempt OID - Covered Positions	0.00
Tax Exempt OID - Specified Private Activity Bonds - Covered Positions	0.00
Investment Expenses	0.00

Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the Form1099-OID section of this document.

**FEDERAL TAX WITHHELD**

Form	Federal Income Tax Withheld
1099-B Total (aggregate):	<b>0.00</b>
1099-DIV Total:	<b>0.00</b>
1099-INT Total:	<b>0.00</b>
1099-MISC Total:	<b>0.00</b>
1099-OID Total:	<b>0.00</b>



Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

02/08/2023

OMB No. 1545-0715

The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement [ ]

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.**

**1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL MARA 04/14/22	35	MARATHON DIGITAL HOLDINGS INC   CUSIP: *8SKSSW0   Symbol: MARA--220414C00035000					
2022-03-25	11.000000	1,044.43	2022-03-25	1,011.54	0.00	32.89	
PUT NVDA 07/15/22	150	NVIDIA CORPORATION   CUSIP: *8BVGW1   Symbol: NVDA--220715P00150000					
2022-07-11	5.000000	1,694.69	2022-07-11	1,625.25	0.00	69.44	
CALL SPY 03/04/22	430	STANDARD & POORS DEPOSITORY   CUSIP: *8GNHRK9   Symbol: SPY--220304C00430000					
2022-03-04	4.000000	843.78	2022-03-04	792.20	0.00	51.58	

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL Z 03/04/22 60 ZILLOW GROUP INC CLASS C   CUSIP: *8GHYPQ9   Symbol: Z----				220304C00060000			
2022-03-01	5.000000	370.71	2022-03-01	360.25	0.00	10.46	
CALL ASTR 03/18/22 5 ASTRA SPACE INC CLASS A   CUSIP: *8H48167   Symbol: ASTR--220318C00005000							
2022-03-15	12.000000	119.37	Various	106.60	0.00	12.77	
CALL MMAT 03/18/22 3 META MATLS INC   CUSIP: *8KXKLS7   Symbol: MMAT--220318C00003000							
2022-03-16	10.000000	9.44	2022-03-11	10.70	1.26 D	-1.26	
2022-03-17	56.000000	53.12	2022-03-11	75.79	1.53 D	-22.67	
2022-03-18	9.000000	0.00	2022-03-11	19.98	0.00	-19.98	
<b>Security Totals:</b>		<b>62.56</b>		<b>106.47</b>		<b>-43.91</b>	
PUT AAPL 10/21/22 155 APPLE INC   CUSIP: *8GSSVS0   Symbol: AAPL--221021P00155000							
2022-08-22	6.000000	1,829.65	Various	1,521.30	0.00	308.35	
CALL AMD 02/25/22 118 ADVANCED MICRO DEVICES INC   CUSIP: *8GXHJP9   Symbol: AMD---220225C00118000							
2022-02-22	5.000000	1,549.73	2022-02-22	1,525.25	0.00	24.48	
CALL SPY 06/30/22 380 STANDARD & POORS DEPOSITORY   CUSIP: *8PWZXM5   Symbol: SPY---220630C00380000							
2022-06-30	4.000000	115.78	2022-06-30	116.20	0.00	-0.42	
CALL GLD 04/14/22 185 SPDR GOLD TR   CUSIP: *8PHSWY0   Symbol: GLD---220414C00185000							
2022-04-11	10.000000	269.48	2022-04-11	250.49	0.00	18.99	
PUT SPY 03/02/22 430 STANDARD & POORS DEPOSITORY   CUSIP: *8PJWVW7   Symbol: SPY---220302P00430000							
2022-03-01	4.000000	943.78	2022-03-01	1,096.20	0.00	-152.42	
CALL SPY 04/14/22 442 STANDARD & POORS DEPOSITORY   CUSIP: *8SGTJ8   Symbol: SPY---220414C00442000							
2022-04-14	14.000000	872.24	2022-04-14	811.70	0.00	60.54	
CALL SPY 02/25/22 434 STANDARD & POORS DEPOSITORY   CUSIP: *8SLCKD7   Symbol: SPY---220225C00434000							
2022-02-25	4.000000	158.78	2022-02-25	170.20	0.00	-11.42	
CALL MRNA 03/04/22 165 MODERNA INC   CUSIP: *8CZHWD6   Symbol: MRNA--220304C00165000							
2022-02-28	2.000000	235.88	2022-02-28	226.10	0.00	9.78	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT HOG 02/11/22 30 HARLEY DAVIDSON INC   CUSIP: *85KLGW9   Symbol: HOG---220211P00030000							
2022-02-11	1.000000	0.00	2022-02-07	19.05	0.00	-19.05	
CALL SPY 03/25/22 453 STANDARD & POORS DEPOSITORY   CUSIP: *8SMGZD3   Symbol: SPY---220325C00453000							
2022-03-25	10.000000	1,019.48	2022-03-25	1,000.49	0.00	18.99	
CALL SPY 02/07/22 451 STANDARD & POORS DEPOSITORY   CUSIP: *8SMRXD2   Symbol: SPY---220207C00451000							
2022-02-07	4.000000	375.78	2022-02-07	444.20	0.00	-68.42	
PUT SPY 09/16/22 393 STANDARD & POORS DEPOSITORY   CUSIP: *8CWNNC5   Symbol: SPY---220916P00393000							
2022-09-15	4.000000	1,063.74	2022-09-15	1,222.43	90.23 D	-158.69	
CALL MSFT 04/01/22 320 MICROSOFT CORP   CUSIP: *8SNBNN6   Symbol: MSFT--220401C00320000							
2022-03-30	2.000000	143.88	2022-03-29	171.10	27.22 D	-27.22	
2022-04-01	2.000000	3.88	2022-03-31	91.32	0.00	-87.44	
<b>Security Totals:</b>		<b>147.76</b>		<b>262.42</b>		<b>-114.66</b>	
CALL SPY 03/25/22 448 STANDARD & POORS DEPOSITORY   CUSIP: *8SMGZC3   Symbol: SPY---220325C00448000							
2022-03-24	6.000000	1,181.69	2022-03-24	1,116.29	0.00	65.40	
CALL ASTR 04/14/22 5 ASTRA SPACE INC CLASS A   CUSIP: *8BYCFJ0   Symbol: ASTR--220414C00005000							
2022-03-15	8.000000	207.58	2022-02-22	200.40	0.00	7.18	
CALL MMAT 10/21/22 1 META MATLS INC   CUSIP: *8GDCNM3   Symbol: MMAT--221021C00001000							
2022-10-13	15.000000	359.22	Various	37.75	0.00	321.47	
CALL AAPL 04/08/22 180 APPLE INC   CUSIP: *8KXPTY6   Symbol: AAPL--220408C00180000							
2022-04-04	10.000000	879.50	2022-04-04	870.49	0.00	9.01	
PUT SPY 04/08/22 440 STANDARD & POORS DEPOSITORY   CUSIP: *8LKBPH0   Symbol: SPY---220408P00440000							
2022-04-07	1.000000	76.93	2022-04-07	72.05	0.00	4.88	
CALL SPY 04/08/22 450 STANDARD & POORS DEPOSITORY   CUSIP: *8LKBPS7   Symbol: SPY---220408C00450000							
2022-04-07	10.000000	919.50	2022-04-07	890.49	0.00	29.01	
CALL QQQ 03/30/22 370 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KDGCH4   Symbol: QQQ---220330C00370000							
2022-03-29	6.000000	1,089.69	2022-03-29	996.29	0.00	93.40	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 04/08/22	443	STANDARD & POORS DEPOSITORY   CUSIP: *8NPYHB9   Symbol: SPY---220408P00443000					
2022-04-07	10.000000	809.48	2022-04-07	800.49	0.00	8.99	
PUT AMD 04/01/22	117	ADVANCED MICRO DEVICES INC   CUSIP: *8BXJTY4   Symbol: AMD---220401P00117000					
2022-03-29	13.000000	1,089.32	2022-03-28	2,404.24	420.60 D	-1,314.92	
CALL AMD 03/11/22	107	ADVANCED MICRO DEVICES INC   CUSIP: *8SLJCC0   Symbol: AMD---220311C00107000					
2022-03-11	5.000000	324.73	2022-03-11	440.25	0.00	-115.52	
CALL LMT 04/01/22	455	LOCKHEED MARTIN CORP   CUSIP: *8SMZZD2   Symbol: LMT---220401C00455000					
2022-03-28	1.000000	339.93	2022-03-28	360.05	0.00	-20.12	
CALL FB 04/22/22	210	META PLATFORMS INC CL A   CUSIP: *8NRNHQ2   Symbol: FB---220422C00210000					
2022-04-20	5.000000	1,689.73	2022-04-20	1,500.25	0.00	189.48	
PUT SPY 08/19/22	425	STANDARD & POORS DEPOSITORY   CUSIP: *8NTCDQ2   Symbol: SPY---220819P00425000					
2022-08-18	1.000000	156.93	2022-08-18	151.05	0.00	5.88	
CALL SPY 04/13/22	445	STANDARD & POORS DEPOSITORY   CUSIP: *8PLFGJ2   Symbol: SPY---220413C00445000					
2022-04-12	5.000000	469.73	2022-04-12	470.25	0.00	-0.52	
CALL AAPL 03/25/22	172.50	APPLE INC   CUSIP: *8PLGKV4   Symbol: AAPL--220325C00172500					
2022-03-24	10.000000	859.48	2022-03-24	840.49	0.00	18.99	
CALL QQQ 04/06/22	354	INVESCO QQQ TRUST SERIES 1   CUSIP: *8SNPNQ7   Symbol: QQQ---220406C00354000					
2022-04-06	15.000000	2,074.21	2022-04-06	1,835.74	0.00	238.47	
CALL AAPL 04/29/22	170	APPLE INC   CUSIP: *8SPPVY7   Symbol: AAPL--220429C00170000					
2022-04-19	12.000000	3,099.34	Various	2,952.60	0.00	146.74	
CALL QQQ 04/29/22	325	INVESCO QQQ TRUST SERIES 1   CUSIP: *8SPWJG5   Symbol: QQQ---220429C00325000					
2022-04-26	15.000000	5,854.17	2022-04-26	5,490.75	0.00	363.42	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

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CALL NIO 04/29/22 20 NIO INC ADS   CUSIP: *8SPVPM3   Symbol: NIO---220429C00020000							
2022-04-19	5.000000	474.73	2022-04-19	465.25	0.00	9.48	
2022-04-20	10.000000	485.46	2022-04-20	536.02	50.56 D	-50.56	
2022-04-21	5.000000	249.73	2022-04-20	245.29	0.00	4.44	
<b>Security Totals:</b>		<b>1,209.92</b>		<b>1,246.56</b>		<b>-36.64</b>	
PUT NIO 04/29/22 16 NIO INC ADS   CUSIP: *8SPVPL6   Symbol: NIO---220429P00016000							
2022-04-28	10.000000	279.48	2022-04-28	270.50	0.00	8.98	
PUT SPY 08/19/22 385 STANDARD & POORS DEPOSITORY   CUSIP: *8NTCBN9   Symbol: SPY---220819P00385000							
2022-07-20	1.000000	631.92	2022-07-20	614.05	0.00	17.87	
2022-07-29	1.000000	152.93	2022-07-29	149.05	0.00	3.88	
<b>Security Totals:</b>		<b>784.85</b>		<b>763.10</b>		<b>21.75</b>	
PUT SPY 04/29/22 427 STANDARD & POORS DEPOSITORY   CUSIP: *8SPXDP8   Symbol: SPY---220429P00427000							
2022-04-28	1.000000	319.93	2022-04-28	224.05	0.00	95.88	
CALL SPY 04/20/22 448 STANDARD & POORS DEPOSITORY   CUSIP: *8LKYFL1   Symbol: SPY---220420C00448000							
2022-04-20	20.000000	618.97	2022-04-20	990.98	0.00	-372.01	
PUT AAPL 04/14/22 167.50 APPLE INC   CUSIP: *8PKVTC9   Symbol: AAPL--220414P00167500							
2022-04-12	5.000000	514.73	2022-04-12	500.25	0.00	14.48	
PUT SPY 04/13/22 442 STANDARD & POORS DEPOSITORY   CUSIP: *8SNQKB0   Symbol: SPY---220413P00442000							
2022-04-12	1.000000	157.93	2022-04-12	163.05	0.00	-5.12	
PUT SPY 04/08/22 448 STANDARD & POORS DEPOSITORY   CUSIP: *8NPYHN5   Symbol: SPY---220408P00448000							
2022-04-07	10.000000	969.48	2022-04-07	940.49	0.00	28.99	
CALL NIO 04/29/22 16 NIO INC ADS   CUSIP: *8SPVPL5   Symbol: NIO---220429C00016000							
2022-04-28	5.000000	324.71	2022-04-28	325.25	0.00	-0.54	
PUT SPY 05/06/22 419 STANDARD & POORS DEPOSITORY   CUSIP: *8PKTBC1   Symbol: SPY---220506P00419000							
2022-05-04	5.000000	1,074.74	2022-05-04	955.25	0.00	119.49	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions** 2022 Form 1099-B\*

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(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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PUT QQQ 05/06/22 322 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PKSQJ3   Symbol: QQQ---220506P00322000							
2022-05-05	5.000000	1,489.73	2022-05-05	1,365.25	0.00	124.48	
PUT AMD 08/19/22 100 ADVANCED MICRO DEVICES INC   CUSIP: *8PKXGZ1   Symbol: AMD---220819P00100000							
2022-08-15	5.000000	749.72	2022-08-15	895.25	0.00	-145.53	
PUT TWTR 04/22/22 44 TWITTER INC   CUSIP: *8PJHCT9   Symbol: TWTR--220422P00044000							
2022-04-18	1.000000	95.93	2022-04-14	202.05	0.00	-106.12	
CALL SPY 04/13/22 443 STANDARD & POORS DEPOSITORY   CUSIP: *8CSGYV0   Symbol: SPY---220413C00443000							
2022-04-12	5.000000	394.73	2022-04-12	415.25	0.00	-20.52	
CALL AMD 07/15/22 80 ADVANCED MICRO DEVICES INC   CUSIP: *8KQVTL7   Symbol: AMD---220715C00080000							
2022-07-13	1.000000	74.93	2022-07-13	71.05	0.00	3.88	
PUT QQQ 05/04/22 316 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SRRNC0   Symbol: QQQ---220504P00316000							
2022-05-03	5.000000	1,389.73	2022-05-03	1,720.25	0.00	-330.52	
PUT QQQ 05/02/22 312 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BSQXH0   Symbol: QQQ---220502P00312000							
2022-05-02	5.000000	824.73	2022-05-02	830.25	0.00	-5.52	
CALL SPY 04/27/22 422 STANDARD & POORS DEPOSITORY   CUSIP: *8PNPHX0   Symbol: SPY---220427C00422000							
2022-04-26	5.000000	1,614.73	2022-04-26	1,510.25	0.00	104.48	
PUT DWAC 09/16/22 10 DIGITAL WORLD ACQUISITION CORP   CUSIP: *8SRQM08   Symbol: DWAC--220916P00010000							
2022-09-16	50.000000	0.00	2022-09-08	102.46	0.00	-102.46	
CALL QQQ 08/19/22 325 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SQNKW4   Symbol: QQQ---220819C00325000							
2022-08-19	4.000000	283.77	2022-08-19	276.20	0.00	7.57	
CALL NFLX 06/10/22 210 NETFLIX INC   CUSIP: *8PRRHL5   Symbol: NFLX--220610C00210000							
2022-06-08	1.000000	159.93	2022-06-08	170.05	0.00	-10.12	
PUT SPY 06/10/22 408 STANDARD & POORS DEPOSITORY   CUSIP: *8SQWNS7   Symbol: SPY---220610P00408000							
2022-06-08	2.000000	363.88	2022-06-08	480.10	0.00	-116.22	
PUT QQQ 07/15/22 286 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SSDNP3   Symbol: QQQ---220715P00286000							
2022-07-14	10.000000	1,959.39	2022-07-14	1,790.50	0.00	168.89	

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**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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CALL SPY 06/10/22	410 STANDARD & POORS DEPOSITORY   CUSIP: *8SQWNS1   Symbol: SPY---220610C00410000						
2022-06-09	2.000000	408.86	2022-06-09	415.10	0.00	-6.24	
PUT SPY 06/08/22	412 STANDARD & POORS DEPOSITORY   CUSIP: *8SRCNB4   Symbol: SPY---220608P00412000						
2022-06-08	2.000000	201.88	2022-06-08	196.10	0.00	5.78	
PUT SPY 07/15/22	384 STANDARD & POORS DEPOSITORY   CUSIP: *8SSDXW1   Symbol: SPY---220715P00384000						
2022-07-15	10.000000	839.47	2022-07-15	970.50	0.00	-131.03	
PUT SPY 06/08/22	414 STANDARD & POORS DEPOSITORY   CUSIP: *8SRCNB6   Symbol: SPY---220608P00414000						
2022-06-08	2.000000	221.87	2022-06-08	216.10	0.00	5.77	
CALL AAPL 06/24/22	140 APPLE INC   CUSIP: *8SRDFY4   Symbol: AAPL--220624C00140000						
2022-06-22	4.000000	274.77	2022-06-22	316.20	0.00	-41.43	
PUT SPY 06/17/22	366 STANDARD & POORS DEPOSITORY   CUSIP: *8SRWXT8   Symbol: SPY---220617P00366000						
2022-06-16	4.000000	1,219.76	2022-06-16	1,160.20	0.00	59.56	
CALL QQQ 06/10/22	290 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SQVWN2   Symbol: QQQ---220610C00290000						
2022-06-10	1.000000	185.93	2022-06-10	223.05	0.00	-37.12	
CALL SPY 07/15/22	386 STANDARD & POORS DEPOSITORY   CUSIP: *8SQTUV0   Symbol: SPY---220715C00386000						
2022-07-15	1.000000	47.93	2022-07-15	57.05	0.00	-9.12	
PUT DWAC 09/16/22	15 DIGITAL WORLD ACQUISITION CORP   CUSIP: *8SRQMR0   Symbol: DWAC--220916P00015000						
2022-09-09	2.000000	27.87	2022-09-08	93.10	0.00	-65.23	
PUT NVDA 07/01/22	145 NVIDIA CORPORATION   CUSIP: *8SSXGC5   Symbol: NVDA--220701P00145000						
2022-07-01	4.000000	247.78	2022-07-01	228.20	0.00	19.58	
PUT QQQ 06/15/22	278 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SSXVW7   Symbol: QQQ---220615P00278000						
2022-06-15	18.000000	4,318.95	2022-06-15	4,221.87	60.97 D	97.08	
PUT SPY 06/15/22	372 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYTP5   Symbol: SPY---220615P00372000						
2022-06-14	1.000000	305.93	2022-06-14	301.05	0.00	4.88	
CALL TSLA 06/10/22	760 TESLA INC   CUSIP: *8SQXCQ8   Symbol: TSLA--220610C00760000						
2022-06-08	1.000000	909.91	2022-06-08	865.05	0.00	44.86	

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5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 06/15/22 373 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYTP7   Symbol: SPY---220615P00373000							
2022-06-14	1.000000	350.93	2022-06-14	351.05	0.00	-0.12	
PUT QQQ 06/10/22 303 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SVHDF9   Symbol: QQQ---220610P00303000							
2022-06-09	1.000000	223.93	2022-06-09	221.05	0.00	2.88	
PUT QQQ 07/01/22 278 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SSXWL9   Symbol: QQQ---220701P00278000							
2022-07-01	2.000000	309.87	2022-07-01	276.10	0.00	33.77	
PUT AAPL 12/16/22 125 APPLE INC   CUSIP: *8SVDCN7   Symbol: AAPL--221216P00125000							
2022-09-02	1.000000	171.93	2022-09-02	164.05	0.00	7.88	
CALL TSLA 07/01/22 700 TESLA INC   CUSIP: *8SSZMC8   Symbol: TSLA--220701C00700000							
2022-07-01	1.000000	224.93	2022-07-01	189.05	0.00	35.88	
CALL TSLA 07/15/22 735 TESLA INC   CUSIP: *8STLLN9   Symbol: TSLA--220715C00735000							
2022-07-15	4.000000	963.76	2022-07-15	1,294.20	0.00	-330.44	
PUT SPY 06/21/22 372 STANDARD & POORS DEPOSITORY   CUSIP: *8STKYM1   Symbol: SPY---220621P00372000							
2022-06-21	10.000000	1,339.45	2022-06-21	1,280.49	0.00	58.96	
CALL SPY 07/01/22 380 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYVK8   Symbol: SPY---220701C00380000							
2022-07-01	2.000000	133.87	2022-07-01	190.10	0.00	-56.23	
PUT SPY 08/19/22 422 STANDARD & POORS DEPOSITORY   CUSIP: *8KMGKD6   Symbol: SPY---220819P00422000							
2022-08-17	10.000000	619.47	2022-08-17	575.50	0.00	43.97	
CALL SPY 06/24/22 378 STANDARD & POORS DEPOSITORY   CUSIP: *8SRTP7   Symbol: SPY---220624C00378000							
2022-06-23	1.000000	180.93	2022-06-23	179.05	0.00	1.88	
PUT SPY 07/05/22 376 STANDARD & POORS DEPOSITORY   CUSIP: *8NTYBP1   Symbol: SPY---220705P00376000							
2022-07-01	1.000000	185.93	2022-07-01	192.05	0.00	-6.12	
PUT MSFT 07/22/22 260 MICROSOFT CORP   CUSIP: *8PGPTH3   Symbol: MSFT--220722P00260000							
2022-07-22	10.000000	359.48	2022-07-22	350.50	0.00	8.98	
CALL QQQ 07/22/22 305 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PLVFQ2   Symbol: QQQ---220722C00305000							
2022-07-21	5.000000	1,139.68	2022-07-21	1,090.25	0.00	49.43	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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PUT SPY 07/22/22 395 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDK1   Symbol: SPY---220722P00395000							
2022-07-21	2.000000	237.88	2022-07-21	228.10	0.00	9.78	
PUT SPY 07/22/22 396 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDT7   Symbol: SPY---220722P00396000							
2022-07-21	4.000000	656.75	2022-07-21	689.31	9.11 D	-32.56	
PUT MSFT 07/08/22 265 MICROSOFT CORP   CUSIP: *8NFCWD8   Symbol: MSFT--220708P00265000							
2022-07-07	1.000000	91.93	2022-07-07	91.05	0.00	0.88	
PUT SPY 07/22/22 397 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDV3   Symbol: SPY---220722P00397000							
2022-07-21	1.000000	212.93	2022-07-21	199.05	0.00	13.88	
PUT SPY 07/22/22 398 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDV6   Symbol: SPY---220722P00398000							
2022-07-22	1.000000	96.93	2022-07-22	91.05	0.00	5.88	
PUT SPY 07/11/22 385 STANDARD & POORS DEPOSITORY   CUSIP: *8SSNNK0   Symbol: SPY---220711P00385000							
2022-07-11	10.000000	509.46	2022-07-11	520.49	0.00	-11.03	
PUT SPY 07/22/22 393 STANDARD & POORS DEPOSITORY   CUSIP: *8SSNPF2   Symbol: SPY---220722P00393000							
2022-07-21	14.000000	3,231.18	2022-07-21	2,910.69	0.00	320.49	
CALL AMZN 07/08/22 112 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZHN4   Symbol: AMZN--220708C00112000							
2022-07-05	10.000000	1,829.44	2022-07-05	1,620.49	0.00	208.95	
CALL AMZN 07/01/22 113 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZFY9   Symbol: AMZN--220701C00113000							
2022-06-23	4.000000	1,059.76	2022-06-23	1,036.20	0.00	23.56	
CALL AMZN 07/22/22 120 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZLZ5   Symbol: AMZN--220722C00120000							
2022-07-20	3.000000	485.82	2022-07-20	456.15	0.00	29.67	
CALL AMZN 06/24/22 110 AMAZON.COM INC ADJ 20:1 STOCK SPLIT   CUSIP: *8STZDH7   Symbol: AMZN--220624C00110000							
2022-06-15	4.000000	919.76	2022-06-15	860.20	0.00	59.56	
CALL NFLX 07/22/22 220 NETFLIX INC   CUSIP: *8PHNLY1   Symbol: NFLX--220722C00220000							
2022-07-20	1.000000	329.93	2022-07-20	324.05	0.00	5.88	
PUT META 06/17/22 165 META PLATFORMS INC CL A   CUSIP: *8PSMJH5   Symbol: META--220617P00165000							
2022-06-13	1.000000	394.93	2022-06-13	370.05	0.00	24.88	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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PUT SPY 07/29/22	408 STANDARD & POORS DEPOSITORY   CUSIP: *8PSSZJ7   Symbol: SPY---220729P00408000						
2022-07-29	3.000000	308.81	2022-07-29	344.15	0.00	-35.34	
CALL SPY 07/08/22	387.50 STANDARD & POORS DEPOSITORY   CUSIP: *8NGDDX4   Symbol: SPY---220708C00387500						
2022-07-08	5.000000	542.69	2022-07-08	518.25	0.00	24.44	
CALL SPY 07/22/22	400 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDV9   Symbol: SPY---220722C00400000						
2022-07-21	2.000000	179.88	2022-07-21	194.10	0.00	-14.22	
CALL SPY 07/22/22	398 STANDARD & POORS DEPOSITORY   CUSIP: *8PNSDV5   Symbol: SPY---220722C00398000						
2022-07-21	3.000000	500.82	2022-07-21	489.15	0.00	11.67	
PUT SPY 07/11/22	384 STANDARD & POORS DEPOSITORY   CUSIP: *8PRDGV5   Symbol: SPY---220711P00384000						
2022-07-11	40.000000	3,336.86	2022-07-11	3,351.96	0.00	-15.10	
CALL GS 07/29/22	330 GOLDMAN SACHS GROUP INC   CUSIP: *8PRMRL9   Symbol: GS---220729C00330000						
2022-07-21	2.000000	679.87	2022-07-21	818.10	0.00	-138.23	
CALL META 07/22/22	180 META PLATFORMS INC CL A   CUSIP: *8PSMRR6   Symbol: META--220722C00180000						
2022-07-19	1.000000	222.93	2022-07-19	219.05	0.00	3.88	
CALL SPY 07/11/22	391 STANDARD & POORS DEPOSITORY   CUSIP: *8SSNNK3   Symbol: SPY---220711C00391000						
2022-07-08	1.000000	157.93	2022-07-08	154.05	0.00	3.88	
CALL SPY 06/15/22	377 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYTQ0   Symbol: SPY---220615C00377000						
2022-06-14	1.000000	323.93	2022-06-14	347.05	0.00	-23.12	
PUT SPY 07/13/22	376 STANDARD & POORS DEPOSITORY   CUSIP: *8STSLP1   Symbol: SPY---220713P00376000						
2022-07-13	5.000000	1,054.71	2022-07-13	1,055.25	0.00	-0.54	
PUT SPY 07/13/22	382 STANDARD & POORS DEPOSITORY   CUSIP: *8STSLP5   Symbol: SPY---220713P00382000						
2022-07-12	1.000000	228.93	2022-07-12	226.05	0.00	2.88	
CALL QQQ 06/13/22	279 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LJKV58   Symbol: QQQ---220613C00279000						
2022-06-13	1.000000	128.93	2022-06-13	126.05	0.00	2.88	
CALL SPY 06/17/22	371 STANDARD & POORS DEPOSITORY   CUSIP: *8LJQRG1   Symbol: SPY---220617C00371000						
2022-06-16	4.000000	1,079.76	2022-06-16	1,020.20	0.00	59.56	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

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(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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CALL SPY 06/15/22	375 STANDARD & POORS DEPOSITORY   CUSIP: *8SRWXJ1   Symbol: SPY---220615C00375000						
2022-06-14	1.000000	297.93	2022-06-14	311.05	0.00	-13.12	
CALL SPY 07/15/22	378 STANDARD & POORS DEPOSITORY   CUSIP: *8SSDXV6   Symbol: SPY---220715C00378000						
2022-07-14	1.000000	107.93	2022-07-14	100.05	0.00	7.88	
CALL SPY 06/13/22	378 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYTK0   Symbol: SPY---220613C00378000						
2022-06-13	2.000000	301.87	2022-06-13	298.10	0.00	3.77	
CALL SPY 06/13/22	379 STANDARD & POORS DEPOSITORY   CUSIP: *8SSYTK2   Symbol: SPY---220613C00379000						
2022-06-13	3.000000	439.79	2022-06-13	428.15	0.00	11.64	
CALL SPY 07/13/22	386 STANDARD & POORS DEPOSITORY   CUSIP: *8STSLP8   Symbol: SPY---220713C00386000						
2022-07-12	6.000000	1,300.58	2022-07-12	1,391.50	73.20 D	-90.92	
CALL SPY 07/20/22	395 STANDARD & POORS DEPOSITORY   CUSIP: *8BWVCF2   Symbol: SPY---220720C00395000						
2022-07-20	1.000000	88.93	2022-07-20	85.05	0.00	3.88	
PUT SPY 07/20/22	395 STANDARD & POORS DEPOSITORY   CUSIP: *8BWVCQ5   Symbol: SPY---220720P00395000						
2022-07-20	6.000000	677.63	2022-07-20	654.30	0.00	23.33	
PUT QQQ 07/05/22	276 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PQVSD5   Symbol: QQQ---220705P00276000						
2022-07-05	10.000000	1,219.46	2022-07-05	1,190.49	0.00	28.97	
CALL SPY 07/13/22	385 STANDARD & POORS DEPOSITORY   CUSIP: *8PQVWQ4   Symbol: SPY---220713C00385000						
2022-07-12	1.000000	207.93	2022-07-12	218.05	0.00	-10.12	
PUT SPY 07/29/22	404 STANDARD & POORS DEPOSITORY   CUSIP: *8PSSYY6   Symbol: SPY---220729P00404000						
2022-07-28	1.000000	126.93	2022-07-28	121.05	0.00	5.88	
CALL SPY 07/11/22	390 STANDARD & POORS DEPOSITORY   CUSIP: *8SSNNK1   Symbol: SPY---220711C00390000						
2022-07-08	1.000000	156.93	2022-07-08	151.05	0.00	5.88	
CALL SPY 07/20/22	396 STANDARD & POORS DEPOSITORY   CUSIP: *8BZWQP8   Symbol: SPY---220720C00396000						
2022-07-20	1.000000	98.93	2022-07-20	105.05	0.00	-6.12	
PUT SPY 07/20/22	387 STANDARD & POORS DEPOSITORY   CUSIP: *8BWVBK5   Symbol: SPY---220720P00387000						
2022-07-19	1.000000	200.93	2022-07-19	198.05	0.00	2.88	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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CALL SPY 07/20/22 394 STANDARD & POORS DEPOSITORY   CUSIP: *8BZWQK8   Symbol: SPY---220720C00394000							
2022-07-20	2.000000	201.88	2022-07-20	204.10	0.00	-2.22	
MINERVA NEUROSCIENCES INC COMMON STOCK   CUSIP: 603380205   Symbol: NERV							
2022-08-26	100.000000	713.97	2022-08-26	725.00	0.00	-11.03	
CALL QQQ 07/20/22 298 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BZNY2   Symbol: QQQ---220720C00298000							
2022-07-19	3.000000	494.82	2022-07-19	477.15	0.00	17.67	
CALL SPY 06/22/22 373 STANDARD & POORS DEPOSITORY   CUSIP: *8GDNPB7   Symbol: SPY---220622C00373000							
2022-06-22	4.000000	551.74	2022-06-22	548.20	0.00	3.54	
CALL SPY 07/25/22 395 STANDARD & POORS DEPOSITORY   CUSIP: *8GDRZJ0   Symbol: SPY---220725C00395000							
2022-07-25	2.000000	173.87	2022-07-25	166.10	0.00	7.77	
CALL SPY 07/13/22 384 STANDARD & POORS DEPOSITORY   CUSIP: *8STSLP6   Symbol: SPY---220713C00384000							
2022-07-12	3.000000	896.81	2022-07-12	855.15	0.00	41.66	
CALL MMAT 08/19/22 1.50 META MATLS INC   CUSIP: *8KGMZ50   Symbol: MMAT--220819C00001500							
2022-08-19	10.000000	0.00	2022-08-04	20.49	0.00	-20.49	
PUT SPY 07/15/22 382.50 STANDARD & POORS DEPOSITORY   CUSIP: *8PTHQR5   Symbol: SPY---220715P00382500							
2022-07-15	2.000000	257.88	2022-07-15	262.10	0.00	-4.22	
PUT SPY 06/30/22 373 STANDARD & POORS DEPOSITORY   CUSIP: *8STTXP2   Symbol: SPY---220630P00373000							
2022-06-30	4.000000	483.77	2022-06-30	460.20	0.00	23.57	
CALL SPY 07/27/22 394 STANDARD & POORS DEPOSITORY   CUSIP: *8STTYM1   Symbol: SPY---220727C00394000							
2022-07-26	2.000000	375.88	2022-07-26	368.10	0.00	7.78	
CALL ISRG 07/22/22 220 INTUITIVE INTUITIVE INC   CUSIP: *8NWSWW8   Symbol: ISRG--220722C00220000							
2022-07-18	1.000000	334.93	2022-07-15	329.05	0.00	5.88	
CALL SPY 07/11/22 386 STANDARD & POORS DEPOSITORY   CUSIP: *8PQVWF5   Symbol: SPY---220711C00386000							
2022-07-11	12.000000	1,201.28	2022-07-11	1,116.59	0.00	84.69	
CALL OXY 07/29/22 64 OCCIDENTAL PETROLEUM CORP   CUSIP: *8PSPQM1   Symbol: OXY---220729C00064000							
2022-07-25	1.000000	146.93	2022-07-25	150.05	0.00	-3.12	

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**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

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(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

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PUT SPY 07/13/22 384 STANDARD & POORS DEPOSITORY   CUSIP: *8STSLP7   Symbol: SPY---220713P00384000							
2022-07-11	5.000000	1,454.70	2022-07-11	1,365.25	0.00	89.45	
CALL NVDA 08/05/22 185 NVIDIA CORPORATION   CUSIP: *8LPLQV3   Symbol: NVDA--220805C00185000							
2022-07-29	1.000000	374.93	2022-07-29	371.05	0.00	3.88	
AMC ENTERTAINMENT HOLDINGS INC CL A COM   CUSIP: 00165C104   Symbol: AMC							
2022-08-22	30.000000	360.88	Various	376.91	0.00	-16.03	
ANTERO RESOURCES CORPORATION   CUSIP: 03674X106   Symbol: AR							
2022-02-15	1.000000	20.03	2022-02-14	0.00	0.00	20.03	
PUT SPY 07/20/22 384 STANDARD & POORS DEPOSITORY   CUSIP: *8BWTIT0   Symbol: SPY---220720P00384000							
2022-07-19	11.000000	1,736.33	2022-07-19	1,762.11	45.57 D	-25.78	
CALL GME 07/15/22 132 GAMESTOP CORP   CUSIP: *8PSZDK9   Symbol: GME---220715C00132000							
2022-07-11	1.000000	582.92	2022-07-11	540.05	0.00	42.87	
BED BATH & BEYOND INC   CUSIP: 075896100   Symbol: BBBY							
2022-08-18	50.000000	751.97	2022-08-17	990.00	0.00	-238.03	
***CEMEX S A B DE C V SPONSOR ADR REP 10 ORD PRTCP CRTS OF CEMEX S A DE C V   CUSIP: 151290889   Symbol: CX							
2022-02-15	1.000000	5.49	2022-02-14	0.00	0.00	5.49	
2022-03-24	1.000000	5.17	2022-03-23	0.00	0.00	5.17	
2022-03-25	1.000000	5.19	2022-03-24	0.00	0.00	5.19	
<b>Security Totals:</b>		<b>15.85</b>		<b>0.00</b>		<b>15.85</b>	
CAMBER ENERGY INC COMMON STOCK   CUSIP: 13200M508   Symbol: #C079490							
2022-03-31	1000.000000	838.36	2022-03-30	860.00	21.64 D	-21.64	
2022-04-08	1000.000000	760.36	2022-04-08	793.64	0.00	-33.28	
2022-10-31	4000.000000	590.38	Various	1,134.80	0.00	-544.42	
<b>Security Totals:</b>		<b>2,189.10</b>		<b>2,788.44</b>		<b>-599.34</b>	
CALL SPY 07/20/22 387 STANDARD & POORS DEPOSITORY   CUSIP: *8BWTXV6   Symbol: SPY---220720C00387000							
2022-07-18	1.000000	205.93	2022-07-18	217.05	0.00	-11.12	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
EXXON MOBIL CORP   CUSIP: 30231G102   Symbol: XOM							
2022-03-24	1.000000	84.26	2022-03-23	83.78	0.00	0.48	
FORD MOTOR CO PAR \$0.01   CUSIP: 345370860   Symbol: F							
2022-03-25	1.000000	16.82	2022-03-24	0.00	0.00	16.82	
GENWORTH FINANCIAL INC COM CL A   CUSIP: 37247D106   Symbol: GNW							
2022-02-15	4.000000	16.42	2022-02-14	0.00	0.00	16.42	
2022-03-24	7.000000	26.02	2022-03-23	0.00	0.00	26.02	
2022-03-25	5.000000	18.03	2022-03-24	0.00	0.00	18.03	
2022-05-06	16.000000	64.18	2022-05-05	0.00	0.00	64.18	
<b>Security Totals:</b>		<b>124.65</b>		<b>0.00</b>		<b>124.65</b>	
PUT SPY 07/11/22 387 STANDARD & POORS DEPOSITORY   CUSIP: *8PSBDH2   Symbol: SPY---220711P00387000							
2022-07-08	1.000000	139.93	2022-07-08	136.05	0.00	3.88	
PUT AMD 07/15/22 77 ADVANCED MICRO DEVICES INC   CUSIP: *8SXKFF3   Symbol: AMD---220715P00077000							
2022-07-13	5.000000	504.72	2022-07-13	565.25	0.00	-60.53	
MARATHON DIGITAL HLDGS INC COMMON STOCK   CUSIP: 565788106   Symbol: MARA							
2022-03-25	1.000000	28.71	2022-03-25	28.36	0.00	0.35	
MULLEN AUTOMOTIVE INC COMMON STOCK   CUSIP: 62526P109   Symbol: MULN							
2022-04-20	1000.000000	1,460.46	2022-04-20	1,399.90	0.00	60.56	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

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META MATLS INC COMMON STOCK   CUSIP: 59134N104   Symbol: MMAT							
2022-01-07	50.000000	121.99	2021-09-29	343.60	221.61 D	-221.61	
2022-02-08	311.000000	504.39	2021-09-29	2,553.05	2,048.66 D	-2,048.66	
2022-03-31	751.000000	1,306.63	Various	4,798.97	3,492.34 D	-3,492.34	
2022-08-11	3532.000000	3,447.05	Various	20,374.55	16,927.50 D	-16,927.50	
2022-10-27	1181.000000	1,180.94	Various	5,007.81	0.00	-3,826.87	
2022-11-08	6500.000000	10,073.98	Various	18,762.60	0.00	-8,688.62	
2022-11-09	6500.000000	10,333.91	Various	9,917.59	0.00	416.32	
2022-11-17	5000.000000	8,650.15	Various	6,912.91	0.00	1,737.24	
2022-11-18	3000.000000	4,980.39	Various	3,603.10	0.00	1,377.29	
2022-11-23	9000.000000	16,745.17	Various	13,266.53	0.00	3,478.64	
2022-11-30	5000.000000	9,300.13	Various	5,403.14	0.00	3,896.99	
<b>Security Totals:</b>		<b>66,644.73</b>		<b>90,943.85</b>		<b>-24,299.12</b>	
NVIDIA CORP   CUSIP: 67066G104   Symbol: NVDA							
2022-08-26	1.000000	173.55	2022-08-24	171.88	0.00	1.67	
PUT QQQ 07/18/22 295 INVESCO QQQ TRUST SERIES 1   CUSIP: *8STSCS3   Symbol: QQQ---220718P00295000							
2022-07-18	10.000000	1,159.46	2022-07-18	950.49	0.00	208.97	
PUT NVDA 08/26/22 150 NVIDIA CORPORATION   CUSIP: *8SVVPN3   Symbol: NVDA--220826P00150000							
2022-08-24	4.000000	187.75	2022-08-24	148.20	0.00	39.55	
CALL QCOM 07/22/22 138 QUALCOMM INC   CUSIP: *8SVWDP4   Symbol: QCOM--220722C00138000							
2022-07-14	1.000000	349.93	2022-07-14	340.05	0.00	9.88	
PUT SPY 07/25/22 394 STANDARD & POORS DEPOSITORY   CUSIP: *8STTYG0   Symbol: SPY---220725P00394000							
2022-07-25	10.000000	969.41	2022-07-25	915.50	0.00	53.91	
CALL NVDA 08/26/22 190 NVIDIA CORPORATION   CUSIP: *8SVVPP8   Symbol: NVDA--220826C00190000							
2022-08-24	1.000000	63.93	2022-08-24	54.05	0.00	9.88	
CALL AAPL 07/15/22 149 APPLE INC   CUSIP: *8SVZPL1   Symbol: AAPL--220715C00149000							
2022-07-12	30.000000	2,158.41	2022-07-12	3,341.47	0.00	-1,183.06	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

1c - DateSold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL SPY 07/13/22	381	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJCC9   Symbol: SPY---220713C00381000					
2022-07-13	1.000000	84.93	2022-07-13	108.05	0.00	-23.12	
CALL SPY 07/13/22	383	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJCD1   Symbol: SPY---220713C00383000					
2022-07-12	1.000000	212.93	2022-07-12	212.05	0.00	0.88	
PUT QQQ 07/20/22	293	INVESCO QQQ TRUST SERIES 1   CUSIP: *8SWHKJ0   Symbol: QQQ---220720P00293000					
2022-07-19	10.000000	1,463.41	2022-07-19	1,460.50	0.00	2.91	
CALL SPY 07/20/22	397	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJDC9   Symbol: SPY---220720C00397000					
2022-07-20	6.000000	346.65	2022-07-20	381.62	27.32 D	-34.97	
PUT SPY 07/18/22	387	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJCR2   Symbol: SPY---220718P00387000					
2022-07-18	10.000000	829.44	2022-07-18	960.49	0.00	-131.05	
CALL SPY 07/18/22	389	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJCR3   Symbol: SPY---220718C00389000					
2022-07-18	5.000000	329.73	2022-07-18	400.25	0.00	-70.52	
TWITTER INC   CUSIP: 90184L102   Symbol: #T018836							
2022-04-19	1.000000	45.67	2022-04-14	46.00	0.00	-0.33	
UWM HOLDINGS CORPORATION CLASS A COMMON STOCK   CUSIP: 91823B109   Symbol: UWMC							
2022-05-06	1.000000	3.70	2022-05-05	0.00	0.00	3.70	
VINCO VENTURES INC COMMON STOCK   CUSIP: 927330100   Symbol: BBIG							
2022-05-09	500.000000	1,680.32	2022-05-09	1,580.00	0.00	100.32	
2022-05-16	570.000000	1,441.99	Various	1,762.19	0.00	-320.20	
<b>Security Totals:</b>		<b>3,122.31</b>		<b>3,342.19</b>		<b>-219.88</b>	
WESTWATER RESOURCES INC COMMON STOCK   CUSIP: 961684206   Symbol: WWR							
2022-03-31	1000.000000	2,000.55	2022-03-30	1,970.00	0.00	30.55	
2022-04-08	1000.000000	1,711.06	2022-04-08	1,640.00	0.00	71.06	
<b>Security Totals:</b>		<b>3,711.61</b>		<b>3,610.00</b>		<b>101.61</b>	
PUT SPY 07/22/22	397.50	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJDM6   Symbol: SPY---220722P00397500					
2022-07-22	2.000000	183.88	2022-07-22	186.10	0.00	-2.22	

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Apex Clearing

## Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\*

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

## SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS

Report on Form 8949, Part I with Box A checked.

Box 2: Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)

Box 5: Box Not Checked (Covered Security)

Box 6: Gross (unless indicated as Net in Additional Notes Column)

Box 12: Basis Reported to the IRS

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## 1a - Description of property | CUSIP | Symbol

1c - DateSold or Disposed	Quantity	1d - Proceeds	Date Acquired	Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
PUT QQQ 07/20/22	299	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8SWHKJ4   Symbol: QQQ---220720P00299000					
2022-07-20	1.000000	109.93	2022-07-20	126.05	0.00	-16.12	
PUT SPY 07/20/22	393	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJDC8   Symbol: SPY---220720P00393000					
2022-07-20	5.000000	373.71	2022-07-20	381.25	0.00	-7.54	
PUT GOOG 07/22/22	112.25	ALPHABET INC CLASS C ADJ 20:1 STOCK SPLIT   CUSIP: *8GLPMK1   Symbol: GOOG--220722P00112250					
2022-07-21	2.000000	219.88	2022-07-21	230.10	0.00	-10.22	
CALL MMAT 09/16/22	1.50	META MATLS INC   CUSIP: *8KTCCJ9   Symbol: MMAT--220916C00001500					
2022-09-16	50.000000	0.00	2022-08-26	102.47	0.00	-102.47	
CALL NVDA 07/29/22	182.50	NVIDIA CORPORATION   CUSIP: *8LQBSX9   Symbol: NVDA--220729C00182500					
2022-07-28	1.000000	107.93	2022-07-28	105.05	0.00	2.88	
PUT SQ 07/22/22	69	BLOCK INC   CUSIP: *8SVPL2   Symbol: SQ---220722P00069000					
2022-07-20	1.000000	109.93	2022-07-20	106.05	0.00	3.88	
PUT SPY 07/20/22	391	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJDC6   Symbol: SPY---220720P00391000					
2022-07-20	5.000000	650.70	2022-07-20	655.37	5.12 D	-4.67	
CALL COIN 07/22/22	77	COINBASE GLOBAL INC   CUSIP: *8NJPFK2   Symbol: COIN--220722C00077000					
2022-07-21	5.000000	339.73	2022-07-21	310.25	0.00	29.48	
PUT SPY 07/22/22	392.50	STANDARD & POORS DEPOSITORY   CUSIP: *8SWJDM4   Symbol: SPY---220722P00392500					
2022-07-20	5.000000	1,017.68	2022-07-20	1,010.25	0.00	7.43	
PUT QQQ 09/02/22	297	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8NYLRN8   Symbol: QQQ---220902P00297000					
2022-09-01	4.000000	1,219.76	2022-09-01	1,068.20	0.00	151.56	
PUT QQQ 09/02/22	299	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8NYLRQ4   Symbol: QQQ---220902P00299000					
2022-09-02	1.000000	127.93	2022-09-02	106.05	0.00	21.88	
CALL SPY 09/02/22	400	STANDARD & POORS DEPOSITORY   CUSIP: *8NYVTY7   Symbol: SPY---220902C00400000					
2022-09-02	1.000000	120.93	2022-09-02	112.05	0.00	8.88	
PUT SPY 09/02/22	398	STANDARD & POORS DEPOSITORY   CUSIP: *8NYVTY2   Symbol: SPY---220902P00398000					
2022-09-02	6.000000	399.66	2022-09-02	402.42	31.12 D	-2.76	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL AAPL 04/14/22	170	APPLE INC   CUSIP: *8BYGSY5   Symbol: AAPL--220414C00170000					
2022-04-12	4.000000	507.79	2022-04-12	504.20	0.00	3.59	
CALL QQQ 08/24/22	315	INVESCO QQQ TRUST SERIES 1   CUSIP: *8NLHXZ5   Symbol: QQQ---220824C00315000					
2022-08-23	9.000000	1,772.49	2022-08-23	1,794.45	0.00	-21.96	
PUT QQQ 09/02/22	295	INVESCO QQQ TRUST SERIES 1   CUSIP: *8NYLRG2   Symbol: QQQ---220902P00295000					
2022-09-01	1.000000	226.93	2022-09-01	220.05	0.00	6.88	
PUT QQQ 08/29/22	305	INVESCO QQQ TRUST SERIES 1   CUSIP: *8PNSCC7   Symbol: QQQ---220829P00305000					
2022-08-29	1.000000	49.93	2022-08-29	63.05	0.00	-13.12	
CALL OXY 12/16/22	90	OCCIDENTAL PETROLEUM CORP   CUSIP: *8SVCWX7   Symbol: OXY---221216C00090000					
2022-09-15	3.000000	332.81	Various	537.15	0.00	-204.34	
PUT SPY 08/31/22	399	STANDARD & POORS DEPOSITORY   CUSIP: *8SWQFL8   Symbol: SPY---220831P00399000					
2022-08-31	4.000000	399.77	2022-08-31	348.20	0.00	51.57	
PUT QQQ 09/09/22	295	INVESCO QQQ TRUST SERIES 1   CUSIP: *8SXXQT9   Symbol: QQQ---220909P00295000					
2022-09-07	20.000000	3,665.84	2022-09-07	3,665.43	48.43 D	0.41	
CALL SPY 08/12/22	423	STANDARD & POORS DEPOSITORY   CUSIP: *8SXYLF4   Symbol: SPY---220812C00423000					
2022-08-12	3.000000	279.79	2022-08-12	264.15	0.00	15.64	
PUT SPY 09/09/22	398	STANDARD & POORS DEPOSITORY   CUSIP: *8SXYLV1   Symbol: SPY---220909P00398000					
2022-09-08	4.000000	665.75	2022-09-08	742.42	40.22 D	-76.67	
PUT SPY 08/26/22	413	STANDARD & POORS DEPOSITORY   CUSIP: *8BTFXN6   Symbol: SPY---220826P00413000					
2022-08-24	1.000000	256.93	2022-08-24	280.05	0.00	-23.12	
PUT NVDA 08/12/22	182.50	NVIDIA CORPORATION   CUSIP: *8PXXWL6   Symbol: NVDA--220812P00182500					
2022-08-12	5.000000	209.73	2022-08-12	210.25	0.00	-0.52	
PUT SPY 08/05/22	413	STANDARD & POORS DEPOSITORY   CUSIP: *8SWPCM9   Symbol: SPY---220805P00413000					
2022-08-03	4.000000	801.75	2022-08-03	780.20	0.00	21.55	
PUT SPY 08/29/22	403	STANDARD & POORS DEPOSITORY   CUSIP: *8SWPCZ5   Symbol: SPY---220829P00403000					
2022-08-29	4.000000	339.77	2022-08-29	320.20	0.00	19.57	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

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PUT SPY 09/09/22 395 STANDARD & POORS DEPOSITORY   CUSIP: *8SXYLT3   Symbol: SPY---220909P00395000							
2022-09-07	2.000000	444.86	2022-09-07	440.10	0.00	4.76	
2022-09-08	15.000000	3,083.14	2022-09-08	2,870.75	0.00	212.39	
<b>Security Totals:</b>		<b>3,528.00</b>		<b>3,310.85</b>		<b>217.15</b>	
CALL F 01/20/23 20 FORD MOTOR COMPANY   CUSIP: *8CYFTL1   Symbol: F-----230120C00020000							
2022-03-24	6.000000	929.69	2022-03-24	942.29	0.00	-12.60	
CALL QQQ 08/29/22 305 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PNSCC4   Symbol: QQQ---220829C00305000							
2022-08-29	1.000000	96.93	2022-08-29	84.05	0.00	12.88	
CALL BABA 07/15/22 130 ALIBABA GROUP HOLDING LIMITED   CUSIP: *8CZRBW4   Symbol: BABA--220715C00130000							
2022-07-08	4.000000	923.75	2022-07-08	896.20	0.00	27.55	
PUT GOOG 09/16/22 102.25 ALPHABET INC CLASS C ADJ 20:1 STOCK SPLIT   CUSIP: *8GMKBK6   Symbol: GOOG--220916P00102250							
2022-09-14	1.000000	64.93	2022-09-14	70.05	0.00	-5.12	
PUT SPY 09/09/22 397 STANDARD & POORS DEPOSITORY   CUSIP: *8SXYLT7   Symbol: SPY---220909P00397000							
2022-09-08	1.000000	178.93	2022-09-08	205.05	0.00	-26.12	
PUT QQQ 08/24/22 313 INVESCO QQQ TRUST SERIES 1   CUSIP: *8NVBQC8   Symbol: QQQ---220824P00313000							
2022-08-24	15.000000	1,399.16	2022-08-24	1,415.06	39.31 D	-15.90	
PUT QQQ 08/24/22 316 INVESCO QQQ TRUST SERIES 1   CUSIP: *8NVBQQ2   Symbol: QQQ---220824P00316000							
2022-08-23	2.000000	389.88	2022-08-23	371.10	0.00	18.78	
PUT QQQ 08/12/22 327 INVESCO QQQ TRUST SERIES 1   CUSIP: *8SXXQL1   Symbol: QQQ---220812P00327000							
2022-08-12	2.000000	95.87	2022-08-12	124.10	0.00	-28.23	
CALL QQQ 09/06/22 300 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PTQKR8   Symbol: QQQ---220906C00300000							
2022-09-02	8.000000	1,503.54	2022-09-02	1,433.51	7.11 D	70.03	
PUT SPY 08/12/22 420 STANDARD & POORS DEPOSITORY   CUSIP: *8SSGFJ4   Symbol: SPY---220812P00420000							
2022-08-12	1.000000	65.93	2022-08-12	69.05	0.00	-3.12	
PUT SPY 08/26/22 418 STANDARD & POORS DEPOSITORY   CUSIP: *8SVZMY5   Symbol: SPY---220826P00418000							
2022-08-26	6.000000	1,268.64	2022-08-26	1,201.30	0.00	67.34	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL AMD 09/09/22	85 ADVANCED MICRO DEVICES INC   CUSIP: *8SXQSK4   Symbol: AMD---						
2022-09-09	2.000000	95.88	2022-09-09	130.10	0.00	-34.22	
CALL MMAT 04/14/22	5 META MATLS INC   CUSIP: *8G36187   Symbol: MMAT--220414C00005000						
2022-03-24	33.000000	64.30	Various	677.60	357.45 D	-613.30	
2022-03-25	17.000000	33.11	Various	437.29	0.00	-404.18	
<b>Security Totals:</b>		<b>97.41</b>		<b>1,114.89</b>		<b>-1,017.48</b>	
CALL MMAT 04/14/22	3 META MATLS INC   CUSIP: *8G36183   Symbol: MMAT--220414C00003000						
2022-03-23	20.000000	118.97	Various	220.99	0.00	-102.02	
AMC ENTERTAINMENT HOLDINGS INC AMC PRFRD EQTY UNITS ECH CNSTNG OF DPSTRY SHR RPRS   CUSIP: 00165C203   Symbol: APE							
2022-08-22	30.000000	280.78	Various	231.19	0.00	49.59	
CALL MMAT 04/14/22	6 META MATLS INC   CUSIP: *8G36190   Symbol: MMAT--220414C00006000						
2022-03-24	1.000000	0.93	2022-01-12	20.04	0.00	-19.11	
PUT SPY 08/15/22	426 STANDARD & POORS DEPOSITORY   CUSIP: *8LLJGY4   Symbol: SPY---220815P00426000						
2022-08-15	2.000000	145.88	2022-08-15	172.10	0.00	-26.22	
PUT SPY 08/15/22	424 STANDARD & POORS DEPOSITORY   CUSIP: *8LLJGY2   Symbol: SPY---220815P00424000						
2022-08-12	2.000000	249.88	2022-08-12	309.10	59.22 D	-59.22	
2022-08-15	20.000000	1,318.94	2022-08-15	1,695.47	135.25 D	-376.53	
<b>Security Totals:</b>		<b>1,568.82</b>		<b>2,004.57</b>		<b>-435.75</b>	
PUT QQQ 08/17/22	328 INVESCO QQQ TRUST SERIES 1   CUSIP: *8NYLNJ4   Symbol: QQQ---220817P00328000						
2022-08-17	20.000000	1,858.93	2022-08-17	1,714.00	0.00	144.93	
PUT SPY 08/12/22	422 STANDARD & POORS DEPOSITORY   CUSIP: *8SVWXH5   Symbol: SPY---220812P00422000						
2022-08-12	16.000000	1,623.11	2022-08-12	1,579.90	13.10 D	43.21	
CALL MMAT 04/14/22	2 META MATLS INC   CUSIP: *8G36181   Symbol: MMAT--220414C00002000						
2022-03-23	60.000000	1,556.91	Various	1,727.84	0.00	-170.93	
PUT QQQ 08/17/22	332 INVESCO QQQ TRUST SERIES 1   CUSIP: *8NYLNJ8   Symbol: QQQ---220817P00332000						
2022-08-15	12.000000	2,261.34	2022-08-15	2,977.23	264.63 D	-715.89	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 09/12/22 409 STANDARD & POORS DEPOSITORY   CUSIP: *8SXPXM5   Symbol: SPY---220912P00409000							
2022-09-12	20.000000	1,098.93	2022-09-12	1,692.99	0.00	-594.06	
PUT SPY 08/17/22 428 STANDARD & POORS DEPOSITORY   CUSIP: *8NVFLK9   Symbol: SPY---220817P00428000							
2022-08-16	5.000000	958.70	2022-08-16	945.25	0.00	13.45	
CALL MMAT 07/15/22 4 META MATLS INC   CUSIP: *8KHPTH8   Symbol: MMAT--220715C00004000							
2022-03-23	1.000000	20.93	2022-03-22	20.05	0.00	0.88	
CALL MMAT 07/15/22 2 META MATLS INC   CUSIP: *8KHPSM0   Symbol: MMAT--220715C00002000							
2022-03-23	4.000000	229.76	Various	196.20	0.00	33.56	
PUT SPY 09/21/22 385 STANDARD & POORS DEPOSITORY   CUSIP: *8BTPBR9   Symbol: SPY---220921P00385000							
2022-09-21	1.000000	265.94	2022-09-21	254.05	0.00	11.89	
PUT SPY 09/21/22 386 STANDARD & POORS DEPOSITORY   CUSIP: *8KZBRF7   Symbol: SPY---220921P00386000							
2022-09-19	2.000000	680.86	2022-09-19	725.22	26.12 D	-44.36	
PUT VXX 03/18/22 25 IPATH SRS B S&P 500 VIX SHRT   CUSIP: *8KZMWT2   Symbol: VXX---220318P00025000							
2022-03-14	2.000000	119.88	2022-03-11	142.10	0.00	-22.22	
***JEFFS BRANDS LTD ORDINARY SHARES   CUSIP: M61472102   Symbol: JFBR							
2022-09-21	1000.000000	1,039.87	2022-09-21	1,030.00	0.00	9.87	
CALL TSLA 08/26/22 300 TESLA INC ADJ 3:1 STOCK SPLIT   CUSIP: *8NJXYL3   Symbol: TSLA--220826C00300000							
2022-08-25	1.000000	292.93	2022-08-25	375.05	0.00	-82.12	
PUT SPY 09/19/22 385 STANDARD & POORS DEPOSITORY   CUSIP: *8SYLLJ3   Symbol: SPY---220919P00385000							
2022-09-19	16.000000	1,657.12	2022-09-19	1,539.80	0.00	117.32	
PUT SPY 09/19/22 382 STANDARD & POORS DEPOSITORY   CUSIP: *8KZBGC0   Symbol: SPY---220919P00382000							
2022-09-19	2.000000	209.88	2022-09-19	264.10	0.00	-54.22	
PUT SPY 09/07/22 393 STANDARD & POORS DEPOSITORY   CUSIP: *8PKMLB9   Symbol: SPY---220907P00393000							
2022-09-07	3.000000	272.83	2022-09-07	285.15	0.00	-12.32	
CALL QQQ 09/06/22 303 INVESCO QQQ TRUST SERIES 1   CUSIP: *8PVCSC8   Symbol: QQQ---220906C00303000							
2022-09-01	6.000000	419.69	2022-09-01	509.30	0.00	-89.61	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SPY 09/14/22	400	STANDARD & POORS DEPOSITORY   CUSIP: *8SXBMD1   Symbol: SPY---	220914C00400000				
2022-09-13	2.000000	425.88	2022-09-13	422.10	0.00	3.78	
CALL SPY 09/09/22	398	STANDARD & POORS DEPOSITORY   CUSIP: *8SXYLV0   Symbol: SPY---	220909C00398000				
2022-09-08	2.000000	333.88	2022-09-08	328.10	0.00	5.78	
CALL QQQ 09/14/22	296	INVESCO QQQ TRUST SERIES 1   CUSIP: *8SYLFB4   Symbol: QQQ---	220914C00296000				
2022-09-14	3.000000	371.83	2022-09-14	357.15	0.00	14.68	
CALL QQQ 09/02/22	299	INVESCO QQQ TRUST SERIES 1   CUSIP: *8NYLRQ3   Symbol: QQQ---	220902C00299000				
2022-09-02	20.000000	538.96	2022-09-02	551.99	0.00	-13.03	
PUT QQQ 09/14/22	293	INVESCO QQQ TRUST SERIES 1   CUSIP: *8PYDPF3   Symbol: QQQ---	220914P00293000				
2022-09-14	25.000000	1,598.63	2022-09-14	2,243.25	0.00	-644.62	
CALL CEI 10/28/22	.50	CAMBER ENERGY INC   CUSIP: *9SYSSP3   Symbol: CEI---	221028C00000500				
2022-10-28	40.000000	77.94	2022-09-20	0.00	0.00	77.94	
PUT NVDA 09/16/22	160	NVIDIA CORPORATION ADJ 4:1 STOCK SPLIT   CUSIP: *8NKTVN6   Symbol: NVDA---	220916P00160000				
2022-08-24	2.000000	959.86	2022-08-24	880.10	0.00	79.76	
CALL MMAT 11/18/22	1	META MATLS INC   CUSIP: *8LMCSN2   Symbol: MMAT---	221118C00001000				
2022-10-13	76.000000	3,816.96	2022-10-07	459.74	0.00	3,357.22	
PUT QQQ 09/21/22	287	INVESCO QQQ TRUST SERIES 1   CUSIP: *8PWXNK2   Symbol: QQQ---	220921P00287000				
2022-09-20	5.000000	1,575.69	2022-09-20	1,482.25	0.00	93.44	
CALL XOM 04/14/22	85	EXXON MOBIL CORP   CUSIP: *8NNWQC2   Symbol: XOM---	220414C00085000				
2022-03-24	4.000000	971.78	2022-03-23	928.20	0.00	43.58	
PUT SPY 10/14/22	353	STANDARD & POORS DEPOSITORY   CUSIP: *8PNXBX0   Symbol: SPY---	221014P00353000				
2022-10-13	20.000000	2,738.91	2022-10-13	3,781.00	0.00	-1,042.09	
CALL AAPL 09/16/22	150	APPLE INC ADJ 4:1 STOCK SPLIT   CUSIP: *8PDPTD0   Symbol: AAPL---	220916C00150000				
2022-09-16	2.000000	101.88	2022-09-16	112.10	0.00	-10.22	
PUT TSLA 09/16/22	500	TESLA INC ADJ 5:1 STOCK SPLIT   CUSIP: *8PDSWM9   Symbol: #8PDSWM9					
2022-07-28	1.000000	319.93	2022-07-27	360.05	0.00	-40.12	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 01/20/23	380 STANDARD & POORS DEPOSITORY   CUSIP: *8PGWMC9   Symbol: SPY--230120P00380000						
2022-10-31	1.000000	1,439.90	2022-10-28	1,378.05	0.00	61.85	
CALL ASTR 02/18/22	5 ASTRA SPACE INC CLASS A   CUSIP: *8PWQNH5   Symbol: ASTR--220218C00005000						
2022-02-07	1.000000	44.93	2022-02-07	90.05	0.00	-45.12	
CALL ASTR 02/18/22	7.50 ASTRA SPACE INC CLASS A   CUSIP: *8PWQNH7   Symbol: ASTR--220218C00007500						
2022-02-07	4.000000	59.78	Various	120.20	0.00	-60.42	
CALL MMAT 01/20/23	5 META MATLS INC   CUSIP: *8SDWBH7   Symbol: MMAT--230120C00005000						
2022-11-23	334.000000	3,339.35	2022-11-17	4,449.45	1,110.10 D	-1,110.10	
CALL MMAT 01/20/23	2 META MATLS INC   CUSIP: *8SDWBH1   Symbol: MMAT--230120C00002000						
2022-10-13	10.000000	339.48	2022-10-10	80.49	0.00	258.99	
2022-11-18	210.000000	6,841.38	Various	2,369.42	0.00	4,471.96	
<b>Security Totals:</b>		<b>7,180.86</b>		<b>2,449.91</b>		<b>4,730.95</b>	
CALL MMAT 12/30/22	4 META MATLS INC   CUSIP: *8UBDKM3   Symbol: MMAT--221230C00004000						
2022-12-12	100.000000	296.94	2022-11-23	896.92	6.10 D	-599.98	
CALL SPY 12/28/22	383 STANDARD & POORS DEPOSITORY   CUSIP: *8LSDHV6   Symbol: SPY--221228C00383000						
2022-12-28	9.000000	179.63	2022-12-28	258.33	0.00	-78.70	
<b>Totals:</b>		<b>255,227.79</b>		<b>279,304.13</b>		<b>-24,076.34</b>	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR NONCOVERED TAX LOTS**

Report on Form 8949, Part I with Box B checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Checked (Noncovered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Not Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
UNITED STATES OIL FUND LP SHARES OF UNITED STATES OIL FUND LP   CUSIP: 91232N207   Symbol: USO							
2022-03-17	3.000000	220.48	2022-03-17	220.20	0.00	0.28	
<b>Totals:</b>		<b>220.48</b>		<b>220.20</b>		<b>0.28</b>	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2022 Form 1099-B\***

5MU73363

(continued)

02/08/2023

OMB No. 1545-0715

**LONG-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part II with Box D checked.

**Box 2:** Type of Gain or Loss - Long-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**The 1099-B data referenced by a Box Number is reported to the IRS. The additional information not referenced by a Box Number is not reported to the IRS but may be helpful to complete your return.****1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>Date Acquired</b>	<b>Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
META MATLS INC COMMON STOCK   CUSIP: 59134N104   Symbol: MMAT							
2022-10-07	1000.000000	658.73	Various	6,741.18	0.00	-6,082.45	
2022-10-10	1000.000000	703.04	Various	5,557.30	0.00	-4,854.26	
2022-10-27	3819.000000	3,818.79	Various	19,199.54	32.70 D	-15,380.75	
2022-11-23	8.000000	15.12	Various	48.69	0.00	-33.57	
<b>Security Totals:</b>		<b>5,195.68</b>		<b>31,546.71</b>		<b>-26,351.03</b>	
<b>Totals:</b>		<b>5,195.68</b>		<b>31,546.71</b>		<b>-26,351.03</b>	

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Apex Clearing

**Regulated Futures Contracts & Section 1256 Options**

2022

5MU73363

02/08/2023

The detailed transactional information below is furnished only for your information. Only the aggregate profit/loss information in each section is reported to the IRS. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

**PROFIT OR LOSS REALIZED IN 2022 ON CLOSED CONTRACTS**

Description of property CUSIP	Expiration Date/ Strike Price	Closing Trade Process Date	Number of Contracts	Buy/Sell/Expire	Opening Contract Amount	Closing Contract Amount	Realized Profit/(Loss)
CALL SPXW 08/31/22 4000 CBOE S&P 500 CLOSE/EURO INDEX CLOSING CONTRACT							
	08/31/2022						
CUSIP:	@4,000.00	08/31/2022	1.00	Sell	950.63	769.37	-181.26
PUT UVXY 04/08/22 14 PROSHARES ULTRA VIX SHORT TERM CLOSING CONTRACT							
	04/08/2022						
CUSIP:	@14.00	04/06/2022	10.00	Sell	540.49	429.48	-111.01
PUT SPXW 09/08/22 4000 CBOE S&P 500 CLOSE/EURO INDEX CLOSING CONTRACT							
	09/08/2022						
CUSIP:	@4,000.00	09/08/2022	1.00	Sell	1,010.63	1,039.37	28.74
<b>Short-Term Profit/(Loss) Total: 40%</b>							<b>-105.41</b>
<b>Long-Term Profit/(Loss) Total: 60%</b>							<b>-158.12</b>
<b>Total:</b>							<b>-263.53</b>

Aggregate Short-Term Profit or (Loss): 40%	-105.41
Aggregate Long-Term Profit or (Loss): 60%	-158.12
<b>11 - Aggregate Profit or (Loss) on Contracts</b>	<b>-263.53</b>

\* This is Important tax Information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this Income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns.

Apex Clearing

**Interest Income - Details of Form 1099-INT**

2022

5MU73363

02/08/2023

This section of the information statement provides the payment-level details for interest that is reported in aggregate on Form 1099-INT. Market discount is provided only if you have made an election to recognize market discount on a current basis. Any such market discount and bond premium are reported on Form 1099-INT for covered lots, as detailed below. For noncovered lots, bond premium and market discount are shown below only for your information and are not reported on Form 1099-INT.

**Interest Income****Description | CUSIP | Symbol**

<b>Date</b>	<b>Interest Income (Box 1)</b>	<b>Investment Expenses (Box 5)</b>	<b>Foreign Tax paid (Box 6)</b>	<b>Foreign Country or US Possession (Box 7)</b>	<b>Market Discount (Box10)</b>	<b>Market Discount (NOT reported to IRS)</b>	<b>Bond Premium (Box 11)</b>	<b>Bond premium (Not reported to IRS)</b>
FULLYPAID LENDING REBATE   CUSIP: *8S87337   Symbol: #8S87337								
2022-08-12	24.10	0.00	0.00		0.00	0.00	0.00	0.00
<b>Totals:</b>	<b>24.10</b>	<b>0.00</b>	<b>0.00</b>		<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**Common Instructions for Recipient**

**Recipient's taxpayer identification number (TIN).** For your protection, this form may show only the last four digits of your TIN (SSN, ITIN, ATIN, or EIN). However, the Issuer has reported your complete TIN to the IRS.

**FATCA filing requirement.** If the FATCA filing requirement box is checked, the payer is reporting on Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You also may have a filing requirement. See the Instructions for Form 8938.

**Account number.** May show an account or other unique number the payer assigned to distinguish your account.

**Nominee.** If this form includes amounts belonging to another person, you are considered a nominee recipient. You must file as the "payer" the respective Form 1099 (DIV, INT, or OID) (with a Form 1096) to the IRS for each of the other owners to show their share of the income, and you must furnish the respective Copy B Form(s) to each. A spouse is not required to file a nominee return to show amounts owned by the other spouse. See the 2022 General Instructions for Certain Information Returns.

**FreeFile.** Go to [www.irs.gov/FreeFile](http://www.irs.gov/FreeFile) to see if you qualify for no-cost online federal tax preparation, e-filing, and direct deposit or payment options.

**Future developments.** For the latest information about developments related to forms and instructions, such as legislation enacted after they were published, go to [www.irs.gov/forms-instructions](http://www.irs.gov/forms-instructions).

**Keep tax documents for your records.****1099-DIV Instructions for Recipient**

**Box 1a.** Shows total ordinary dividends that are taxable. Include this amount on the "Ordinary dividends" line of Form 1040 or 1040-SR. Also report it on Schedule B (Form 1040), if required.

**Box 1b.** Shows the portion of the amount in box 1a that may be eligible for reduced capital gains rates. See the Instructions for Form 1040 for how to determine this amount and where to report. The amount shown may be dividends a corporation paid directly to you as a participant (or beneficiary of a participant) in an employee stock ownership plan (ESOP). Report it as a dividend on your Form 1040 or 1040-SR but treat it as a plan distribution, not as investment income, for any other purpose.

**Box 2a.** Shows total capital gain distributions from a regulated investment company (RIC) or real estate investment trust (REIT). See How To Report in the Instructions for Schedule D (Form 1040). But, if no amount is shown in boxes 2b, 2c, 2d, and 2f and your only capital gains and losses are capital gain distributions, you may be able to report the amounts shown in box 2a on your Form 1040 or 1040-SR rather than Schedule D. See the Instructions for Form 1040.

**Box 2b.** Shows the portion of the amount in box 2a that is unrecaptured section 1250 gain from certain depreciable real property. See the Unrecaptured Section 1250 Gain Worksheet in the Instructions for Schedule D (Form 1040).

**Box 2c.** Shows the portion of the amount in box 2a that is section 1202 gain from certain small business stock that may be subject to an exclusion. See the Schedule D (Form 1040) Instructions.

**Box 2d.** Shows the portion of the amount in box 2a that is 28% rate gain from sales or exchanges of collectibles. If required, use this amount when completing the 28% Rate Gain Worksheet in the Instructions for Schedule D (Form 1040).

**Box 2e.** Shows the portion of the amount in box 1a that is section 897 gain attributable to disposition of U.S. real property interests (USRPI).

**Box 2f.** Shows the portion of the amount in box 1a that is section 897 gain attributable to disposition of USRPI. Note: Boxes 2e and 2f apply only to foreign persons and entities whose income maintains its character when passed through or distributed to its direct or indirect foreign owners or beneficiaries. It is generally treated as effectively connected to a trade or business within the United States. See the Instructions for your tax return.

**Box 3.** Shows a return of capital. To the extent of your cost (or other basis) in the stock, the distribution reduces your basis and is not taxable. Any amount received in excess of your basis is taxable to you as capital gain. See Pub. 550.

**Box 4.** Shows backup withholding. A payer must backup withhold on certain payments if you did not give your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** Shows the portion of the amount in box 1a that may be eligible for the 20% qualified business income deduction under section 199A. See the Instructions for Form 8995 and Form 8995-A.

**Box 6.** Shows your share of expenses of a nonpublicly offered RIC, generally a nonpublicly offered mutual fund. This amount is included in box 1a.

**Box 7.** Shows the foreign tax that you may be able to claim as a deduction or a credit on Form 1040 or 1040-SR. See the Instructions for Form 1040.

**Box 8.** This box should be left blank if a RIC reported the foreign tax shown in box 7.

**Boxes 9 and 10.** Show cash and noncash liquidation distributions.

**Box 11.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You may also have a filing requirement. See the Instructions for Form 8938.

**Box 12.** Shows exempt-interest dividends from a mutual fund or other RIC paid to you during the calendar year. See the Instructions for Form 1040 for where to report. This amount may be subject to backup withholding. See Box 4 above.

**Box 13.** Shows exempt-interest dividends subject to the alternative minimum tax. This amount is included in box 12. See the Instructions for Form 6251.

**Boxes 14-16.** State income tax withheld reporting boxes.

**1099-INT Instructions for Recipient**

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a taxable covered security acquired at a premium, unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize the premium under section 171, or for a tax-exempt covered security acquired at a premium, your payer must generally report either (1) a net amount of interest that reflects the offset of the amount of interest paid to you by the amount of premium amortization allocable to the payment(s), or (2) a gross amount for both the interest paid to you and the premium amortization allocable to the payment(s). If you did notify your payer that you did not want to amortize the premium on a taxable covered security, then your payer will only report the gross amount of interest paid to you. For a noncovered security acquired at a premium, your payer is only required to report the gross amount of interest paid to you.

**Box 1.** Shows taxable interest paid to you during the calendar year by the payer. This does not include interest shown in box 3. May also show the total amount of the credits from clean renewable energy bonds, new clean renewable energy bonds, qualified energy conservation bonds, qualified zone academy bonds, qualified school construction bonds, and build America bonds that must be included in your interest income. These amounts were treated as paid to you during the calendar year on the credit allowance dates (March 15, June 15, September 15, and December 15). For more information, see Form 8912. See the Instructions above for a taxable covered security acquired at a premium.

**Box 2.** Shows interest or principal forfeited because of early withdrawal of time savings. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Form 1040 to see where to take the deduction.

**Box 3.** Shows interest on U.S. Savings Bonds, Treasury bills, Treasury bonds, and Treasury notes. This may or may not all be taxable. See Pub. 550. This interest is exempt from state and local income taxes. This interest is not included in box 1. See the instructions above for a taxable covered security acquired at a premium.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9. Include this amount on your income tax return as tax withheld.

**Box 5.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 1. Note: This amount is not deductible.

**Box 6.** Shows foreign tax paid. You may be able to claim this tax as a deduction or a credit on your Form 1040 or 1040-SR. See your tax return instructions.

**Box 7.** Shows the country or U.S. possession to which the foreign tax was paid.

**Box 8.** Shows tax-exempt interest paid to you during the calendar year by the payer. See how to report this amount in the Instructions for Form 1040. This amount may be subject to backup withholding. See Box 4 above. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 9.** Shows tax-exempt interest subject to the alternative minimum tax. This amount is included in box 8. See the Instructions for Form 6251. See the instructions above for a tax-exempt covered security acquired at a premium.

**Box 10.** For a taxable or tax-exempt covered security, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you, unless it was reported on Form 1099-OID. For a taxable or tax-exempt covered security acquired on or after January 1, 2015, accrued market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). Report the accrued market discount on your income tax return as directed in the Instructions for Form 1040. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 11.** For a taxable covered security (other than a U.S. Treasury obligation), shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the security. If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 1. If the amount in box 11 is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4).

**Box 12.** For a U.S. Treasury obligation that is a covered security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040) to determine the net amount of interest includible in income on Form 1040 or 1040-SR with respect to the U.S. Treasury obligation. If an amount is not reported in this box for a U.S. Treasury obligation that is a covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 3. If the amount in box 12 is greater than the amount of interest paid on the U.S. Treasury obligation, see Regulations section 1.171-2(a)(4).

**Box 13.** For a tax-exempt covered security, shows the amount of premium amortization allocable to the interest payment(s). If an amount is reported in this box, see Pub. 550 to determine the net amount of tax-exempt interest reportable on Form 1040 or 1040-SR. If an amount is not reported in this box for a tax-exempt covered security acquired at a premium, the payer has reported a net amount of interest in box 8 or 9, whichever is applicable. If the amount in box 13 is greater than the amount of interest paid on the tax-exempt covered security, the excess is a nondeductible loss. See Regulations section 1.171-2(a)(4)(ii).

**Box 14.** Shows CUSIP number(s) for tax-exempt bond(s) on which tax-exempt interest was paid, or tax credit bond(s) on which taxable interest was paid or tax credit was allowed, to you during the calendar year. If blank, no CUSIP number was issued for the bond(s).

**Boxes 15-17.** State tax withheld reporting boxes.

**1099-B Instructions to Recipients**

Brokers and barter exchanges must report proceeds from (and in some cases, basis for) transactions to you and the IRS on Form 1099-B. Reporting is also required when your broker knows or has reason to know that a corporation in which you own stock has had a reportable change in control or capital structure. You may be required to recognize gain from the receipt of cash, stock, or other property that was exchanged for the corporation's stock. If your broker reported this type of transaction to you, the corporation is identified in box 1a.

**CUSIP number.** Shows the CUSIP (Committee on Uniform Security Identification Procedures) number or other applicable identifying number.

**Applicable checkbox on Form 8949.** Indicates where to report this transaction on Form 8949 and Schedule D (Form 1040), and which checkbox is applicable. See the Instructions for your Schedule D (Form 1040) and/or Form 8949.

**Box 1a.** Shows a brief description of the item or service for which amounts are being reported. For regulated futures contracts and forward contracts, "RFC" or other appropriate description may be shown. For Section 1256 option contracts, "Section 1256 option" or other appropriate description may be shown. For a corporation that had a reportable change in control or capital structure, this box may show the class of stock as C (common), P (preferred), or O (other).

**Box 1b.** This box may be blank if box 5 is checked or if the securities sold were acquired on a variety of dates. For short sales, the date shown is the date you acquired the security delivered to close the short sale.

**Box 1c.** Shows the trade date of the sale or exchange. For short sales, the date shown is the date the security was delivered to close the short sale. For aggregate reporting in boxes 8 through 11, no entry will be present.

**Box 1d.** Shows the cash proceeds, reduced by any commissions or transfer taxes related to the sale, for transactions involving stocks, debt, commodities, forward contracts, non-Section 1256 option contracts, or securities futures contracts. May show the proceeds from the disposition of your interest(s) in a widely held fixed investment trust. May also show the aggregate amount of cash and the fair market value of any stock or other property received in a reportable change in control or capital structure arising from the corporate transfer of property to a foreign corporation. Losses on forward contracts or non-Section 1256 option contracts are shown in parentheses. This box does not include proceeds from regulated futures contracts or Section 1256 option contracts. Report this amount on Form 8949 or on Schedule D (Form 1040) (whichever is applicable) as explained in the Instructions for Schedule D (Form 1040).

**Box 1e.** Shows the cost or other basis of securities sold. If the securities were acquired through the exercise of a noncompensatory option granted or acquired on or after January 1, 2014, the basis has been adjusted to reflect your option premium. If the securities were acquired through the exercise of a noncompensatory option granted or acquired before January 1, 2014, your broker is permitted, but not required, to adjust the basis to reflect your option premium. If the securities were acquired through the exercise of a compensatory option, the basis has not been adjusted to include any amount related to the option that was reported to you on a Form W-2. If box 5 is checked, box 1e may be blank. See the Instructions for Form 8949, the Instructions for Schedule D (Form 1040), or Pub. 550 for details.

**Box 1f.** Shows the amount of accrued market discount. For details on market discount, see the Schedule D (Form 1040) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1f may be blank. Box 1g. Shows the amount of nondeductible loss in a wash sale transaction. For details on wash sales, see the Schedule D (Form 1040) instructions, the Instructions for Form 8949, and Pub. 550. If box 5 is checked, box 1g may be blank.

**Box 2.** The short-term and long-term boxes pertain to short-term gain or loss and long-term gain or loss. If the "Ordinary" box is checked, your security may be subject to special rules. For example, gain on a contingent payment debt instrument subject to the noncontingent bond method is generally treated as ordinary interest income rather than as capital gain. See the Instructions for Form 8949, Pub. 550, or Pub. 1212 for more details on whether there are any special rules or adjustments that might apply to your security. If box 5 is checked, box 2 may be blank.

**Box 3.** If checked, proceeds are from a transaction involving collectibles or from a Qualified Opportunity Fund (QOF).

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** If checked, the securities sold were noncovered securities and boxes 1b, 1e, 1f, 1g, and 2 may be blank. Generally, a noncovered security means: stock purchased before 2011, stock in most mutual funds purchased before 2012, stock purchased in or transferred to a dividend reinvestment plan before 2012, debt acquired before 2014, options granted or acquired before 2014, and securities futures contracts entered into before 2014.

**Box 6.** If the exercise of a noncompensatory option resulted in a sale of a security, a checked "Net proceeds" box indicates whether the amount in box 1d was adjusted for option premium.

**Box 7.** If checked, you cannot take a loss on your tax return based on gross proceeds from a reportable change in control or capital structure reported in box 1d. See the Form 8949 and Schedule D (Form 1040) instructions. The broker should advise you of any losses on a separate statement.

**Regulated Futures Contracts, Foreign Currency Contracts, and Section 1256 Option Contracts (Boxes 8 Through 11)**

**Box 8.** Shows the profit or (loss) realized on regulated futures, foreign currency, or Section 1256 option contracts closed during 2022.

**Box 9.** Shows any year-end adjustment to the profit or (loss) shown in box 8 due to open contracts on December 31, 2021.

**Box 10.** Shows the unrealized profit or (loss) on open contracts held in your account on December 31, 2022. These are considered closed out as of that date. This will become an adjustment reported as unrealized profit or (loss) on open contracts—12/31/2022 in 2023.

**Box 11.** Boxes 8, 9, and 10 are all used to figure the aggregate profit or (loss) on regulated futures, foreign currency, or Section 1256 option contracts for the year. Include this amount on your 2022 Form 6781.

**Box 12.** If checked, the basis in box 1e has been reported to the IRS and either the short-term or the long-term gain or loss box in box 2 will be checked. If box 12 is checked on Form(s) 1099-B and NO adjustment is required, see the instructions for your Schedule D (Form 1040) as you may be able to report your transaction directly on Schedule D (Form 1040). If the "Ordinary" box in box 2 is checked, an adjustment may be required.

**Box 13.** Shows the cash you received, the fair market value of any property or services you received, and the fair market value of any trade credits or scrip credited to your account by a barter exchange. See Pub. 525.

**Boxes 14-16.** Show state(s)/local income tax information.

#### 1099-MISC Instructions to Recipients

**Amounts shown may be subject to self-employment (SE) tax.** Individuals should see the Instructions for Schedule SE (Form 1040). Corporations, fiduciaries, or partnerships must report the amounts on the appropriate line of their tax returns.

**Form 1099-MISC Incorrect?** If this form is incorrect or has been issued in error, contact the payer. If you cannot get this form corrected, attach an explanation to your tax return and report your information correctly.

**Box 1.** Report rents from real estate on Schedule E (Form 1040). However, report rents on Schedule C (Form 1040) if you provided significant services to the tenant, sold real estate as a business, or rented personal property as a business. See Pub. 527.

**Box 2.** Report royalties from oil, gas, or mineral properties; copyrights; and patents on Schedule E (Form 1040). However, report payments for a working interest as explained in the Schedule E (Form 1040) instructions. For royalties on timber, coal, and iron ore, see Pub. 544.

**Box 3.** Generally, report this amount on the "Other income" line of Schedule 1 (Form 1040) and identify the payment. The amount shown may be payments received as the beneficiary of a deceased employee, prizes, awards, taxable damages, Indian gaming profits, or other taxable income. See Pub. 525. If it is trade or business income, report this amount on Schedule C or F (Form 1040).

**Box 4.** Shows backup withholding or withholding on Indian gaming profits. Generally, a payer must backup withhold if you did not furnish your TIN. See Form W-9 and Pub. 505 for more information. Report this amount on your income tax return as tax withheld.

**Box 5.** Shows the amount paid to you as a fishing boat crew member by the operator, who considers you to be self-employed. Self-employed individuals must report this amount on Schedule C (Form 1040). See Pub. 334.

**Box 6.** For individuals, report on Schedule C (Form 1040).

**Box 7.** If checked, consumer products totaling \$5,000 or more were sold to you for resale, on a buy-sell, a deposit-commission, or other basis. Generally, report any income from your sale of these products on Schedule C (Form 1040).

**Box 8.** Shows substitute payments in lieu of dividends or tax-exempt interest received by your broker on your behalf as a result of a loan of your securities. Report on the "Other income" line of Schedule 1 (Form 1040).

**Box 9.** Report this amount on Schedule F (Form 1040).

**Box 10.** Shows gross proceeds paid to an attorney in connection with legal services. Report only the taxable part as income on your return.

**Box 11.** Shows the amount of cash you received for the sale of fish if you are in the trade or business of catching fish.

**Box 12.** May show current year deferrals as a nonemployee under a nonqualified deferred compensation (NQDC) plan that is subject to the requirements of section 409A plus any earnings on current and prior year deferrals.

**Box 13.** If the FATCA filing requirement box is checked, the payer is reporting on this Form 1099 to satisfy its account reporting requirement under chapter 4 of the Internal Revenue Code. You may also have a filing requirement. See the Instructions for Form 8938.

**Box 14.** Shows your total compensation of excess golden parachute payments subject to a 20% excise tax. See your tax return instructions for where to report.

**Box 15.** Shows income as a nonemployee under an NQDC plan that does not meet the requirements of section 409A. Any amount included in box 12 that is currently taxable is also included in this box. Report this amount as income on your tax return. This income is also subject to a substantial additional tax to be reported on Form 1040, 1040-SR, or 1040-NR. See the Instructions for your tax return.

**Boxes 16-18.** Show state or local income tax withheld from the payments.

#### 1099-OID Instructions to Recipients

Original issue discount (OID) is the excess of an obligation's stated redemption price at maturity over its issue price (acquisition price for a stripped bond or coupon). OID on a taxable obligation is taxable as interest over the life of the obligation. If you are the holder of a taxable OID obligation, you generally must include an amount of OID in your gross income each year you hold the obligation. Obligations that may have OID include a bond, debenture, note, certificate, or other evidence of indebtedness having a term of more than 1 year. For example, the OID rules may apply to certificates of deposit (CDs), time deposits, bonus savings plans, and other deposit arrangements, especially if the payment of interest is deferred until maturity. In addition, the OID rules apply to Treasury inflation-protected securities. See Pub. 550 for more information.

If, as the record holder, you receive Form 1099-OID showing amounts belonging to another person, you are considered a nominee recipient. Complete a Form 1099-OID for each of the other owners showing the amounts allocable to each. File Copy A of the form with the IRS. Furnish Copy B to each owner. List yourself as the "payer" and the other owner as the "recipient." File Form(s) 1099-OID with Form 1096 with the Internal Revenue Service Center for your area. On Form 1096, list yourself as the "filer." A spouse is not required to file a nominee return to show amounts owned by the other spouse. If you bought or sold an obligation during the year and you are not a nominee, you are not required to issue or file Form 1099-OID showing the OID or stated interest allocable to the seller/buyer of the obligation.

The information provided may be different for covered and noncovered securities. For a description of covered securities, see the Instructions for Form 8949. For a covered security acquired with acquisition premium, your payer generally must report either (1) a net amount of OID that reflects the offset of OID by the amount of acquisition premium amortization for the year, or (2) a gross amount for both the OID and the acquisition premium amortization for the year. For a noncovered security acquired with acquisition premium, your payer is only required to report the gross amount of OID.

**Box 1.** Shows the OID on a taxable obligation for the part of the year you owned it. Report the amount in box 1 as interest income on your income tax return. However, depending on the type of debt instrument, the issue or acquisition date, and other factors (for example, if you paid acquisition or bond premium, or the obligation is a stripped bond or coupon), you may have to figure the correct amount of OID to report on your return. See Pub. 1212 for details on how to figure the correct OID. See the instructions above for a covered security acquired with acquisition premium.

**Box 2.** Shows qualified stated interest on this obligation for the year, which is an amount separate from the OID. If you held the obligation the entire year, report this amount as interest income on your tax return. If you disposed of the obligation or acquired it from another holder during the year, see Pub. 550 for reporting instructions. If there is an amount in both boxes 2 and 8, the amount in box 2 is interest on a U.S. Treasury obligation and is exempt from state and local income taxes. If there is an amount in both boxes 2 and 11, the amount in box 2 is tax-exempt interest and is not included in interest income on your tax return. In general, see how to report tax-exempt interest in the Instructions for Forms 1040 and 1040-SR.

**Box 3.** Shows interest or principal forfeited if you withdrew the money before the maturity date of the obligation, such as from a CD. You may deduct this amount to figure your adjusted gross income on your income tax return. See the Instructions for Forms 1040 and 1040-SR to see where to take the deduction.

**Box 4.** Shows backup withholding. Generally, a payer must backup withhold if you did not furnish your TIN or you did not furnish the correct TIN to the payer. See Form W-9 for information on backup withholding. Include this amount on your income tax return as tax withheld.

**Box 5.** For a covered security acquired with OID, if you made an election under section 1278(b) to include market discount in income as it accrues and you notified your payer of the election in writing in accordance with Regulations section 1.6045-1(n)(5), shows the market discount that accrued on the debt instrument during the year while held by you. For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, shows the market discount that accrued on the obligation during the year while held by you.



For a covered security acquired on or after January 1, 2015, market discount will be calculated on a constant yield basis unless you notified your payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to make a constant yield election for market discount under section 1276(b). The payer may, but is not required to, report the market discount for a tax-exempt obligation that is a covered security acquired before January 1, 2017. Report the accrued market discount on your income tax return as directed in the Instructions for Forms 1040 and 1040-SR. Market discount on a tax-exempt security is includible in taxable income as interest income.

**Box 6.** For a taxable covered security, shows the amount of acquisition premium amortization for the year that reduces the amount of OID that is included as interest on your income tax return. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a covered security acquired with acquisition premium, the payer has reported a net amount of OID that reflects the offset of OID that is included in income. If the payer has reported a net amount of OID in box 1 or box 8, you must report the net amount of OID on Schedule B (Form 1040 or 1040-SR) and you must not make an adjustment to this amount for acquisition premium on Schedule B (Form 1040 or 1040-SR). If there is an amount in both boxes 6 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and is issued with OID, the amount in box 6 shows the amount of acquisition premium amortization for the year that reduces the amount of your tax-exempt OID for the year. The payer may, but is not required to, report the acquisition premium for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID. See the instructions above for a covered security acquired with acquisition premium.

**Box 7.** Shows the identification (CUSIP) number or description of the obligation (may include the stock exchange, issuer, coupon rate, and year of maturity).

**Box 8.** Shows OID on a U.S. Treasury obligation for the part of the year you owned it. Report this amount as interest income on your federal income tax return and see Pub. 1212 to figure any appropriate adjustments to this amount. This OID is exempt from state and local income taxes and is not included in box 1. See the instructions above for a covered security acquired with acquisition premium. If the number in this box is negative, it represents a deflation adjustment. See Pub. 550 for further information on accounting for this adjustment.

**Box 9.** Any amount shown is your share of investment expenses of a single-class REMIC. This amount is included in box 2. Note: This amount is not deductible.

**Box 10.** For a taxable covered security, including a Treasury inflation-protected security, shows the amount of premium amortization allocable to the interest payment(s), unless you notified the payer in writing in accordance with Regulations section 1.6045-1(n)(5) that you did not want to amortize bond premium under section 171. If an amount is reported in this box, see the Instructions for Schedule B (Form 1040 or 1040-SR). If an amount is not reported in this box for a taxable covered security acquired at a premium and the payer is reporting premium amortization, the payer has reported a net amount of interest in box 2. If the amount in this box is greater than the amount of interest paid on the covered security, see Regulations section 1.171-2(a)(4). If there is an amount in both boxes 10 and 11, for a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, and issued with OID, the amount in box 10 shows the amount of premium amortization for the year that reduces the amount of your tax-exempt interest for the year. The payer may, but is not required to, report the premium amortization for a tax-exempt obligation that is a covered security acquired before January 1, 2017, and issued with OID.

**Box 11.** For a tax-exempt obligation that is a covered security acquired on or after January 1, 2017, shows the tax-exempt OID on the obligation for the part of the year you owned it. The payer may, but is not required to, report the OID for a tax-exempt obligation that is a covered security acquired before January 1, 2017. In general, report the amount of tax-exempt OID on Form 1040 or 1040-SR. See the instructions above for a covered security acquired with acquisition premium.

**Boxes 12-14.** State income tax withheld reporting.

**Apex Clearing**

One Dallas Center  
350 North St Paul, Ste 1300  
Dallas, TX 75201

**IMPORTANT TAX DOCUMENTS ENCLOSED**

IN ACCOUNT WITH  
**WEBULL FINANCIAL LLC**  
**888-828-0618**

CHRISTOPHER COX  
2882 MADISON GROVE ROAD  
GREENVILLE, NC 27858-7237

**IMPORTANT YEAR END MESSAGES**

This document includes your Consolidated Form 1099 that we are required to provide to you and contains information that we are providing to the Internal Revenue Service and additional information that may be helpful to you for filing your tax return. You may wish to seek the advice of a tax professional when preparing your return.

Please verify your personal information for accuracy and contact us to correct any discrepancies. If you own Mutual Funds, Real Estate Trusts (REITs), REMIC Securities or certain fixed investment trusts (WHFITs), income distributions may be reclassified by the issuer after the original 1099 is sent. If you hold these securities or another security that is subject to a reclassification event, you may receive a corrected Form 1099.

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<b>Apex Clearing</b> One Dallas Center 350 North St Paul, Ste 1300 Dallas, TX 75201 Customer Service: 214-765-1009 Payer's Federal ID No: 13-2967453 IN ACCOUNT WITH <b>WEBULL FINANCIAL LLC</b> <b>888-828-0618</b>	<b>Account 5MU73363</b> CHRISTOPHER COX 2882 MADISON GROVE ROAD GREENVILLE, NC 27858-7237 RECIPIENT'S ID No: XXX-XX-3031	<b>Form 1099 Composite</b> <b>2023</b> Statement Date: 2024-01-31 <input type="checkbox"/> Corrected
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FATCA filing Requirement ☐**Tax Reporting Statement**

Dividends and Distributions	2023 Form1099DIV	OMB No. 1545-0110
1a- Total Ordinary Dividends (includes amount shown on 1b)	0.00	
1b- Qualified Dividends	0.00	
2a- Total Capital Gain Distributions (includes lines 2b, 2c, 2d)	0.00	
2b- Unrecaptured Section 1250 Gain	0.00	
2c- Section 1202 Gain	0.00	
2d- Collectibles (28%) Gain	0.00	
2e- Section 897 ordinary dividends	0.00	
2f- Section 897 capital gain	0.00	
3- Nondividend Distributions	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Section 199A Dividends	0.00	
6- Investment Expenses	0.00	
7- Foreign Tax Paid	0.00	
8- Foreign Country or U.S. Possessions		
9- Cash Liquidation Distribution	0.00	
10- Noncash Liquidation Distributions	0.00	
12- Exempt-Interest Dividends	0.00	
13- Specified Private Activity Bond Interest Dividends	0.00	

Interest Income	2023 Form1099INT	OMB No. 1545-0112
1- Interest Income	0.00	
2- Early Withdrawal Penalty	0.00	
3- Interest on US Savings Bonds & Treasury Obligations	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
5- Investment Expenses	0.00	
6- Foreign Tax Paid	0.00	
7- Foreign Country or U.S. Possession		
8- Tax-Exempt Interest (includes box 9)	0.00	
9- Specified Private Activity Bond Interest	0.00	
10- Market Discount	0.00	
11- Bond Premium	0.00	
12- Bond Premium on Treasury Obligations	0.00	
13- Bond Premium on Tax-Exempt bonds	0.00	
14- Tax-Exempt and Tax Credit Bond CUSIP no.		

Miscellaneous Information	2023 Form1099MISC	OMB No. 1545-0115
2- Royalties	0.00	
3- Other Income	0.00	
<b>4- Federal Income Tax Withheld</b>	<b>0.00</b>	
8- Substitute Payments in Lieu of Dividends or Interest	0.00	

REGULATED FUTURES CONTRACTS & SECTION 1256 OPTIONS	2023 Form1099B	OMB No. 1545-0715
8- Profit or (loss) realized in 2023 on closed contracts	0.00	
9- Unrealized profit or (loss) on open contracts - 12/31/2022	0.00	
10- Unrealized profit or (loss) on open contracts - 12/31/2023	0.00	
11- Aggregate profit or (loss) on contracts	0.00	
As applicable, proceeds from other sale transactions are summarized below and details are provided in subsequent sections of this document. More details on futures and section 1256 options transactions are also provided in other sections of this document.		

\* This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Taxpayers are reminded that they are ultimately responsible for the accuracy of their tax returns. Dividends may be reclassified for tax purposes after the original Form 1099 is sent in certain cases where information from issuers is received late. This may require us to provide you an amended tax form.

C - Corrected

Apex Clearing

**Tax Summary**

2023

5MU73363

2024-01-31

**Summary Of Sale Proceeds**

Proceeds from sales of securities are reported individually by trade to the Internal Revenue Service. Please refer to the Proceeds from Broker and Barter Exchange Transactions details sections to determine correct amounts to include in your tax return. The summary transaction amounts shown below are for informational purposes.

Section	Total Proceeds	Total Cost Basis	Total Market Discount	Wash Sale Loss Disallowed	Total Net Gain or Loss(-)
Short-term transactions for covered tax lots	355,715.77	381,860.12	0.00	2,547.28	-23,597.07
Short-term transactions for noncovered tax lots	2,149.91	2,127.00	0.00	0.00	22.91
<b>Total Short-term</b>	<b>357,865.68</b>	<b>383,987.12</b>	<b>0.00</b>	<b>2,547.28</b>	<b>-23,574.16</b>
Long-term transactions for covered tax lots	0.00	0.00	0.00	0.00	0.00
Long-term transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Long-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
Undetermined transactions for noncovered tax lots	0.00	0.00	0.00	0.00	0.00
<b>Total Undetermined-term</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**Original Issue Discount**

Original Issue Discount (Non-US Treasury Obligations)	0.00
Original Issue Discount on U.S. Treasury Obligations	0.00
Other Periodic Interest	0.00
Market Discount - Covered Positions	0.00
Acquisition Premium - Covered Positions	0.00
Bond Premium - Covered Positions	0.00
Tax-Exempt OID - Covered Positions	0.00
Tax Exempt OID - Specified Private Activity Bonds - Covered Positions	0.00
Investment Expenses	0.00

Amounts shown in this section are summary totals for your reference. For bond-by-bond detail, use the Form1099-OID section of this document.

**FEDERAL TAX WITHHELD**

Form	Federal Income Tax Withheld
1099-B Total (aggregate):	<b>0.00</b>
1099-DIV Total:	<b>0.00</b>
1099-INT Total:	<b>0.00</b>
1099-MISC Total:	<b>0.00</b>
1099-OID Total:	<b>0.00</b>

Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

2024-01-31

OMB No. 1545-0715

The following information is being provided to assist in your review and the preparation of your tax return.

This Form 1099-B – Proceeds from Broker and Barter Exchange Transactions provides information relating to sales of securities in your account. The sales details are organized into potentially five separate sections depending on your holding period in the security for the sale (short-term vs long-term) and whether the security is considered a “covered security” for tax reporting purpose. For covered securities, cost basis (adjusted as required under tax regulations) is being reported to the Internal Revenue Service (IRS), whereas for noncovered securities, cost basis if set forth below is provided only for your information.

A separate category is provided for sales of securities for which we do not know your holding period. For such tax lots, you will need to use your historical documents to determine your holding period (whether short-term or long-term) and your tax basis.

Unless noted otherwise under the column “Additional Notes”, cost basis and corresponding gain or loss is determined by treating tax lots acquired first as being sold first. We have also assumed that you have made an election to amortize premium on the purchase of taxable bonds.

As brokers, we are only required to apply wash sales loss disallowance rules to securities with the same CUSIP or identifier and purchased and sold within the same account. We are also not required to apply wash sales rules across covered and noncovered securities. You as the taxpayer, however, generally have broader obligations under the wash sales rules to determine disallowed losses, and you may wish to consult with a tax adviser as to the application of such rules to you.

Sales of certain contingent payment debt instruments give rise to ordinary income rather than short-term or long-term capital gain or loss. Such ordinary income treatment is indicated in the Additional Notes column as “Box 2 – Ordinary.” In addition, certain assets classified as collectibles are subject to special tax treatment. Any such classification is noted in the Additional Notes column as “Box 3 – Collectibles Box Checked.” Loss disallowed for certain transactions involving change in control or capital structure is noted in the Additional Notes column as “Box 7 – Loss Disallowed Box Checked.” Disposition of a QOF investment is noted in the Additional Notes column as “Box 3 – QOF.”

Information in the transaction detail sections below that have a Box number is being transmitted to the IRS, whereas additional information that is not being transmitted to the IRS is not headed by a Box number. Such additional information may be helpful to you in the preparation of your tax return. Remember that taxpayers are ultimately responsible for the accuracy of their tax returns.

FATCA filing requirement [ ]

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)

**Box 5:** Box Not Checked (Covered Security)

**Box 6:** Gross (unless indicated as Net in Additional Notes Column)

**Box 12:** Basis Reported to the IRS

**1a - Description of property | CUSIP | Symbol**

Description of Property   CUSIP   Symbol					1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis			
PUT SPY 04/21/23	390	STANDARD & POORS DEPOSITORY   CUSIP: *8556542   Symbol: SPY---			230421P00390000		
2023-03-28	2.0	1,091.88	2023-03-27	1,020.10	0.00	71.78	
PUT META 05/19/23	230	META PLATFORMS INC CL A   CUSIP: *8BSDDR5   Symbol: META--			230519P00230000		
2023-05-01	4.0	1,091.78	2023-05-01	1,044.20	0.00	47.58	
CALL SPY 02/27/23	400	STANDARD & POORS DEPOSITORY   CUSIP: *8BSJZN6   Symbol: SPY---			230227C00400000		
2023-02-27	17.0	1,514.07	2023-02-27	1,572.78	72.93 D	14.22	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS

1a - Description of property   CUSIP   Symbol						1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis				
PUT QQQ 08/29/23 367 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BSNLN1   Symbol: QQQ---230829P00367000								
2023-08-29	40.0	2,957.87	2023-08-29	2,862.00		0.00	95.87	
CALL QQQ 08/29/23 368 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BSNLQ1   Symbol: QQQ---230829C00368000								
2023-08-28	10.0	699.46	2023-08-28	670.50		0.00	28.96	
PUT GOOGL 05/19/23 105 ALPHABET INC CLASS A   CUSIP: *8BSPMM0   Symbol: GOOGL-230519P00105000								
2023-05-01	4.0	643.75	2023-05-01	618.20		0.00	25.55	
PUT SPY 08/29/23 442 STANDARD & POORS DEPOSITORY   CUSIP: *8BSRZB6   Symbol: SPY---230829P00442000								
2023-08-28	5.0	489.69	2023-08-28	480.25		0.00	9.44	
PUT SPY 08/29/23 447 STANDARD & POORS DEPOSITORY   CUSIP: *8BSSCL1   Symbol: SPY---230829P00447000								
2023-08-29	10.0	379.46	2023-08-29	380.50		0.00	-1.04	
PUT QQQ 05/30/23 352 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BTFCSC4   Symbol: QQQ---230530P00352000								
2023-05-30	20.0	2,078.93	2023-05-30	2,369.99		221.01 D	-70.05	
CALL SPY 05/31/23 417 STANDARD & POORS DEPOSITORY   CUSIP: *8BTJFV6   Symbol: SPY---230531C00417000								
2023-05-31	50.0	3,598.37	2023-05-31	3,351.50		1.04 D	247.91	
PUT SPY 05/31/23 417 STANDARD & POORS DEPOSITORY   CUSIP: *8BTJFV7   Symbol: #8BTJFV7								
2023-05-31	20.0	698.96	2023-05-31	641.00		0.00	57.96	
PUT QQQ 06/27/23 359 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BTKTW8   Symbol: QQQ---230627P00359000								
2023-06-27	10.0	749.48	2023-06-27	730.50		0.00	18.98	
CALL QQQ 04/25/23 315 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BTNPJ5   Symbol: QQQ---230425C00315000								
2023-04-25	20.0	2,080.91	2023-04-25	2,010.98		0.00	69.93	
PUT SPY 04/24/23 412 STANDARD & POORS DEPOSITORY   CUSIP: *8BTWQS2   Symbol: SPY---230424P00412000								
2023-04-21	2.0	239.88	2023-04-21	222.10		0.00	17.78	
PUT QQQ 08/30/23 374 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BTXJK3   Symbol: QQQ---230830P00374000								
2023-08-30	10.0	659.47	2023-08-30	730.50		0.00	-71.03	
PUT SPY 08/30/23 445 STANDARD & POORS DEPOSITORY   CUSIP: *8BVGND5   Symbol: SPY---230830P00445000								
2023-08-29	5.0	224.72	2023-08-29	215.25		0.00	9.47	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL QQQ 04/26/23 313 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BWJZS5   Symbol: QQQ---230426C00313000							
2023-04-25	5.0	586.72	2023-04-25	575.25	0.00	11.47	
PUT QQQ 07/25/23 378 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BWQLV9   Symbol: QQQ---230725P00378000							
2023-07-25	1.0	66.93	2023-07-25	74.05	0.00	-7.12	
CALL SPY 04/26/23 408 STANDARD & POORS DEPOSITORY   CUSIP: *8BWZZV1   Symbol: SPY---230426C00408000							
2023-04-26	5.0	289.73	2023-04-26	320.25	0.00	-30.52	
PUT QQQ 03/28/23 305 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BYBVC4   Symbol: QQQ---230328P00305000							
2023-03-28	50.0	2,717.38	2023-03-28	2,817.98	0.51 D	-100.09	
PUT QQQ 06/28/23 362 INVESCO QQQ TRUST SERIES 1   CUSIP: *8BYJXV7   Symbol: QQQ---230628P00362000							
2023-06-27	90.0	7,105.29	2023-06-27	7,774.41	0.00	-669.12	
PUT SPY 07/20/23 454 STANDARD & POORS DEPOSITORY   CUSIP: *8BYRHC3   Symbol: SPY---230720P00454000							
2023-07-20	20.0	1,098.96	2023-07-20	1,060.98	0.00	37.98	
PUT SPY 03/27/23 397 STANDARD & POORS DEPOSITORY   CUSIP: *8BYWYW0   Symbol: SPY---230327P00397000							
2023-03-27	15.0	1,419.20	2023-03-27	1,300.75	0.00	118.45	
PUT SPY 03/28/23 395 STANDARD & POORS DEPOSITORY   CUSIP: *8BYVYN3   Symbol: SPY---230328P00395000							
2023-03-27	5.0	734.73	2023-03-27	680.25	0.00	54.48	
CALL SPY 03/28/23 396 STANDARD & POORS DEPOSITORY   CUSIP: *8BYZY0   Symbol: SPY---230328C00396000							
2023-03-28	10.0	1,089.46	2023-03-28	1,075.50	0.00	13.96	
PUT SPY 03/28/23 396 STANDARD & POORS DEPOSITORY   CUSIP: *8BYZBD7   Symbol: SPY---230328P00396000							
2023-03-28	15.0	1,654.18	2023-03-28	1,711.25	40.51 D	-16.56	
CALL SPY 03/28/23 398 STANDARD & POORS DEPOSITORY   CUSIP: *8BYZBP1   Symbol: SPY---230328C00398000							
2023-03-27	30.0	4,453.37	2023-03-27	4,223.50	0.00	229.87	
PUT SPY 03/29/23 398 STANDARD & POORS DEPOSITORY   CUSIP: *8CWHCJ7   Symbol: SPY---230329P00398000							
2023-03-29	3.0	184.81	2023-03-29	193.27	9.12 D	0.66	
PUT SPY 03/29/23 399 STANDARD & POORS DEPOSITORY   CUSIP: *8CWHCQ5   Symbol: SPY---230329P00399000							
2023-03-29	4.0	201.74	2023-03-29	276.55	36.35 D	-38.46	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SPY 03/29/23	400	STANDARD & POORS DEPOSITORY   CUSIP: *8CWHCR6   Symbol: SPY---230329C00400000					
2023-03-29	1.0	48.93	2023-03-29	57.05	0.00	-8.12	
PUT SPY 03/29/23	400	STANDARD & POORS DEPOSITORY   CUSIP: *8CWHCS8   Symbol: SPY---230329P00400000					
2023-03-29	7.0	322.59	2023-03-29	281.35	0.00	41.24	
CALL SPY 03/29/23	401	STANDARD & POORS DEPOSITORY   CUSIP: *8CWHCT8   Symbol: SPY---230329C00401000					
2023-03-29	20.0	1,138.96	2023-03-29	1,200.98	0.00	-62.02	
PUT NVDA 08/18/23	420	NVIDIA CORPORATION   CUSIP: *8E41634   Symbol: NVDA--230818P00420000					
2023-08-18	5.0	969.69	2023-08-18	920.25	0.00	49.44	
CALL QQQ 02/17/23	300	INVESCO QQQ TRUST SERIES 1   CUSIP: *8F21105   Symbol: QQQ---230217C00300000					
2023-02-17	4.0	519.77	2023-02-17	496.20	0.00	23.57	
PUT QQQ 02/17/23	300	INVESCO QQQ TRUST SERIES 1   CUSIP: *8F21106   Symbol: QQQ---230217P00300000					
2023-02-17	4.0	567.76	2023-02-17	480.20	0.00	87.56	
CALL SPY 03/30/23	404	STANDARD & POORS DEPOSITORY   CUSIP: *8G67095   Symbol: SPY---230330C00404000					
2023-03-30	13.0	1,151.30	2023-03-30	1,214.06	52.41 D	-10.35	
CALL SPY 09/05/23	450	STANDARD & POORS DEPOSITORY   CUSIP: *8GCHCX5   Symbol: SPY---230905C00450000					
2023-09-05	10.0	699.47	2023-09-05	730.50	0.00	-31.03	
PUT SPY 04/27/23	409	STANDARD & POORS DEPOSITORY   CUSIP: *8GVCW0   Symbol: SPY---230427P00409000					
2023-04-27	40.0	1,637.92	2023-04-27	1,611.97	0.00	25.95	
PUT SPY 04/27/23	410	STANDARD & POORS DEPOSITORY   CUSIP: *8GVCW6   Symbol: SPY---230427P00410000					
2023-04-27	40.0	1,597.91	2023-04-27	1,561.96	0.00	35.95	
PUT SPY 06/02/23	422.50	STANDARD & POORS DEPOSITORY   CUSIP: *8GCYFT1   Symbol: SPY---230602P00422500					
2023-06-01	3.0	401.83	2023-06-01	390.15	0.00	11.68	
CALL SPY 09/06/23	445	STANDARD & POORS DEPOSITORY   CUSIP: *8GDYGB7   Symbol: SPY---230906C00445000					
2023-09-06	30.0	1,022.39	2023-09-06	1,140.54	29.04 D	-89.11	
CALL SPY 09/06/23	447	STANDARD & POORS DEPOSITORY   CUSIP: *8GDYGV7   Symbol: SPY---230906C00447000					
2023-09-06	10.0	469.47	2023-09-06	410.50	0.00	58.97	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SPY 09/01/23 450 STANDARD & POORS DEPOSITORY   CUSIP: *8GGRDT1   Symbol: SPY---230901C00450000							
2023-09-01	10.0	639.47	2023-09-01	590.50	0.00	48.97	
CALL SPY 09/01/23 451 STANDARD & POORS DEPOSITORY   CUSIP: *8GGRFD1   Symbol: SPY---230901C00451000							
2023-09-01	10.0	369.47	2023-09-01	350.50	0.00	18.97	
PUT QQQ 09/26/23 357 INVESCO QQQ TRUST SERIES 1   CUSIP: *8GMGJV3   Symbol: QQQ---230926P00357000							
2023-09-25	10.0	1,049.45	2023-09-25	1,040.50	0.00	8.95	
CALL QQQ 07/31/23 384 INVESCO QQQ TRUST SERIES 1   CUSIP: *8GNZGP5   Symbol: QQQ---230731C00384000							
2023-07-31	30.0	1,308.44	2023-07-31	1,211.49	0.00	96.95	
CALL GOOGL 06/02/23 130 ALPHABET INC CLASS A   CUSIP: *8GRBF7   Symbol: GOOGL-230602C00130000							
2023-05-22	10.0	679.48	2023-05-22	755.50	0.00	-76.02	
PUT SPY 06/01/23 419 STANDARD & POORS DEPOSITORY   CUSIP: *8GRFCX7   Symbol: SPY---230601P00419000							
2023-06-01	40.0	2,757.91	2023-06-01	2,530.99	0.00	226.92	
PUT SPY 06/01/23 421 STANDARD & POORS DEPOSITORY   CUSIP: *8GRFCY3   Symbol: SPY---230601P00421000							
2023-06-01	40.0	1,517.91	2023-06-01	1,481.96	0.00	35.95	
PUT SPY 06/02/23 428 STANDARD & POORS DEPOSITORY   CUSIP: *8H56845   Symbol: SPY---230602P00428000							
2023-06-02	5.0	325.71	2023-06-02	318.25	0.00	7.46	
CALL AMD 07/21/23 130 ADVANCED MICRO DEVICES INC   CUSIP: *8J48389   Symbol: AMD---230721C00130000							
2023-06-21	3.0	362.83	2023-06-21	393.15	30.32 D	0.00	
2023-07-05	10.0	599.48	2023-07-05	620.81	0.00	-21.33	
<b>Security Totals:</b>		<b>962.31</b>		<b>1,013.96</b>		<b>-21.33</b>	
CALL AMGN 07/21/23 270 AMGEN INC   CUSIP: *8KBZMJ9   Symbol: AMGN--230721C00270000							
2023-02-23	2.0	503.87	2023-02-22	500.10	0.00	3.77	
CALL AMD 08/18/23 130 ADVANCED MICRO DEVICES INC   CUSIP: *8KCNHR7   Symbol: AMD---230818C00130000							
2023-07-20	5.0	789.73	2023-07-20	815.25	0.00	-25.52	
PUT QQQ 06/29/23 364 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KCSRR2   Symbol: QQQ---230629P00364000							
2023-06-28	5.0	354.73	2023-06-28	469.25	0.00	-114.52	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

1c - Date Sold or Disposed	Quantity	1d - Proceeds	1b - Date Acquired	1e - Cost or Other Basis	1f - Accrued Market Discount (M) & 1g - Wash Sale Loss Disallowed (D)	Gain or Loss (-)	Additional Notes
CALL QQQ 07/28/23 382 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KCSVY5   Symbol: QQQ---230728C00382000							
2023-07-27	10.0	709.48	2023-07-27	780.49	0.00	-71.01	
PUT QQQ 07/28/23 382 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KCSVY6   Symbol: QQQ---230728P00382000							
2023-07-28	5.0	479.73	2023-07-28	445.25	0.00	34.48	
CALL SPY 06/05/23 428 STANDARD & POORS DEPOSITORY   CUSIP: *8KCWPH1   Symbol: SPY---230605C00428000							
2023-06-05	20.0	1,808.95	2023-06-05	1,782.02	1.03 D	27.96	
CALL SPY 06/05/23 429 STANDARD & POORS DEPOSITORY   CUSIP: *8KCWPH3   Symbol: SPY---230605C00429000							
2023-06-05	10.0	239.47	2023-06-05	320.49	0.00	-81.02	
PUT SPY 06/05/23 429 STANDARD & POORS DEPOSITORY   CUSIP: *8KCWPH5   Symbol: SPY---230605P00429000							
2023-06-05	24.0	1,062.74	2023-06-05	1,067.18	0.00	-4.44	
CALL SPY 08/18/23 436 STANDARD & POORS DEPOSITORY   CUSIP: *8KCXBD0   Symbol: SPY---230818C00436000							
2023-08-18	5.0	384.73	2023-08-18	450.25	0.00	-65.52	
PUT SPY 08/18/23 436 STANDARD & POORS DEPOSITORY   CUSIP: *8KCXBF1   Symbol: SPY---230818P00436000							
2023-08-18	11.0	821.39	2023-08-18	774.55	0.00	46.84	
PUT QQQ 06/05/23 357 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KFFGN1   Symbol: QQQ---230605P00357000							
2023-06-05	20.0	1,338.93	2023-06-05	1,260.99	0.00	77.94	
PUT QQQ 06/06/23 353 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KFFQC6   Symbol: QQQ---230606P00353000							
2023-06-06	22.0	240.86	2023-06-06	221.09	0.00	19.77	
PUT SPY 06/29/23 437 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQY7   Symbol: SPY---230629P00437000							
2023-06-29	5.0	244.73	2023-06-29	280.25	0.00	-35.52	
PUT SPY 06/29/23 438 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQY9   Symbol: SPY---230629P00438000							
2023-06-29	4.0	199.77	2023-06-29	244.20	0.00	-44.43	
CALL SPY 06/07/23 427 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQW3   Symbol: SPY---230607C00427000							
2023-06-07	40.0	1,707.92	2023-06-07	1,854.99	83.03 D	-64.04	
PUT SPY 06/07/23 427 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQV3   Symbol: SPY---230607P00427000							
2023-06-07	30.0	1,488.40	2023-06-07	1,558.04	66.56 D	-3.08	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 06/07/23 428 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQVT9   Symbol: SPY---230607P00428000							
2023-06-07	10.0	544.46	2023-06-07	510.50	0.00	33.96	
PUT SPY 06/07/23 429 STANDARD & POORS DEPOSITORY   CUSIP: *8KFQVW2   Symbol: SPY---230607P00429000							
2023-06-05	20.0	2,778.93	2023-06-05	2,680.99	0.00	97.94	
CALL MMAT 01/19/24 1 META MATLS INC   CUSIP: *8KGNMJ1   Symbol: MMAT--240119C00001000							
2023-06-08	11.0	43.42	2023-04-24	33.54	0.00	9.88	
PUT QQQ 02/23/23 296 INVESCO QQQ TRUST SERIES 1   CUSIP: *8KHNG2   Symbol: QQQ---230223P00296000							
2023-02-23	3.0	275.81	2023-02-23	255.15	0.00	20.66	
PUT LQD 04/21/23 104 ISHARES IBOX \$ INVSTMNT GRADE   CUSIP: *8KJTTB1   Symbol: LQD---230421P00104000							
2023-03-08	10.0	1,079.48	2023-03-07	1,030.50	0.00	48.98	
PUT XOM 09/15/23 105 EXXON MOBIL CORP   CUSIP: *8KLXFT5   Symbol: XOM---230915P00105000							
2023-08-22	5.0	524.73	2023-08-22	495.25	0.00	29.48	
2023-08-30	90.0	2,245.26	Various	4,324.50	0.00	-2,079.24	
<b>Security Totals:</b>		<b>2,769.99</b>		<b>4,819.75</b>		<b>-2,049.76</b>	
CALL SPY 02/23/23 400 STANDARD & POORS DEPOSITORY   CUSIP: *8KMVYM9   Symbol: SPY---230223C00400000							
2023-02-23	30.0	1,338.39	2023-02-23	1,754.50	0.00	-416.11	
CALL SPY 02/23/23 402 STANDARD & POORS DEPOSITORY   CUSIP: *8KMVYP6   Symbol: SPY---230223C00402000							
2023-02-23	20.0	2,038.92	2023-02-23	1,992.03	66.04 D	112.93	
PUT SPY 02/28/23 396 STANDARD & POORS DEPOSITORY   CUSIP: *8KMWPK0   Symbol: SPY---230228P00396000							
2023-02-28	10.0	864.42	2023-02-28	790.50	0.00	73.92	
PUT SPY 02/28/23 398 STANDARD & POORS DEPOSITORY   CUSIP: *8KMWPK2   Symbol: SPY---230228P00398000							
2023-02-28	10.0	404.46	2023-02-28	415.50	0.00	-11.04	
CALL SPY 03/02/23 395 STANDARD & POORS DEPOSITORY   CUSIP: *8KMWSB9   Symbol: SPY---230302C00395000							
2023-03-02	6.0	283.66	2023-03-02	282.30	0.00	1.36	
CALL VIRI 09/15/23 2.50 VIRIOS THERAPEUTICS INC   CUSIP: *8KRFJ3   Symbol: VIRI--230915C00002500							
2023-05-24	4.0	139.78	2023-05-09	120.20	0.00	19.58	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - DateSold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT QQQ 09/07/23	370	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8KRSQS8   Symbol: QQQ---230907P00370000					
2023-09-07	5.0	424.73	2023-09-07	430.25	0.00	-5.52	
CALL SPY 05/03/23	409	STANDARD & POORS DEPOSITORY   CUSIP: *8KSDBC3   Symbol: SPY---230503C00409000					
2023-05-02	3.0	686.83	2023-05-02	681.15	0.00	5.68	
PUT SPY 05/03/23	411	STANDARD & POORS DEPOSITORY   CUSIP: *8KSDBC9   Symbol: SPY---230503P00411000					
2023-05-03	3.0	455.83	2023-05-03	426.15	0.00	29.68	
CALL QQQ 06/07/23	354	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8KYDJR7   Symbol: QQQ---230607C00354000					
2023-06-07	20.0	548.94	2023-06-07	560.99	0.00	-12.05	
PUT QQQ 07/07/23	365	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8KYDSS0   Symbol: QQQ---230707P00365000					
2023-07-06	40.0	4,337.91	2023-07-06	4,222.98	11.01 D	125.94	
PUT QQQ 07/07/23	370	INVESTCO QQQ TRUST SERIES 1   CUSIP: *8KYDSS7   Symbol: QQQ---230707P00370000					
2023-07-05	20.0	3,558.93	2023-07-05	3,575.00	0.00	-16.07	
CALL SPY 07/07/23	440	STANDARD & POORS DEPOSITORY   CUSIP: *8KZMLK2   Symbol: SPY---230707C00440000					
2023-07-06	3.0	398.83	2023-07-06	387.15	0.00	11.68	
2023-07-07	5.0	361.71	2023-07-07	345.25	0.00	16.46	
<b>Security Totals:</b>		<b>760.54</b>		<b>732.40</b>		<b>28.14</b>	
CALL TSLA 09/08/23	252.50	TESLA INC   CUSIP: *8LCDBY0   Symbol: TSLA--230908C00252500					
2023-09-08	20.0	418.93	2023-09-08	361.00	0.00	57.93	
PUT SPY 02/27/23	399	STANDARD & POORS DEPOSITORY   CUSIP: *8LCKST3   Symbol: SPY---230227P00399000					
2023-02-27	1.0	71.93	2023-02-27	70.05	0.00	1.88	
CALL SPY 03/01/23	395	STANDARD & POORS DEPOSITORY   CUSIP: *8LCLFQ3   Symbol: SPY---230301C00395000					
2023-03-01	15.0	674.21	2023-03-01	895.75	0.00	-221.54	
PUT SPY 03/01/23	395	STANDARD & POORS DEPOSITORY   CUSIP: *8LCLFQ4   Symbol: SPY---230301P00395000					
2023-03-01	25.0	1,883.67	2023-03-01	1,746.25	0.00	137.42	
CALL SPY 03/01/23	396	STANDARD & POORS DEPOSITORY   CUSIP: *8LCLFQ5   Symbol: SPY---230301C00396000					
2023-03-01	1.0	97.93	2023-03-01	110.05	0.00	-12.12	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SPY 03/01/23	397	STANDARD & POORS DEPOSITORY   CUSIP: *8LCLFQ7   Symbol: SPY---230301C00397000					
2023-03-01	1.0	68.93	2023-03-01	85.05	0.00	-16.12	
CALL QQQ 02/01/23	295	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LDGYP8   Symbol: QQQ---230201C00295000					
2023-02-01	4.0	751.76	2023-02-01	732.20	0.00	19.56	
PUT QQQ 02/02/23	307	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LDKKG0   Symbol: QQQ---230202P00307000					
2023-02-02	9.0	1,538.49	2023-02-02	1,488.45	0.00	50.04	
PUT QQQ 03/07/23	300	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LDKNZ6   Symbol: QQQ---230307P00300000					
2023-03-07	3.0	458.83	2023-03-07	423.15	0.00	35.68	
PUT QQQ 02/02/23	309	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LDKSH0   Symbol: QQQ---230202P00309000					
2023-02-02	28.0	3,722.48	2023-02-02	3,592.39	0.00	130.09	
CALL MMAT 05/19/23	1	META MATLS INC   CUSIP: *8LDTYY4   Symbol: MMAT--230519C00001000					
2023-05-19	75.0	0.00	Various	227.68	0.00	-227.68	
PUT SPY 03/06/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8LDZVH5   Symbol: SPY---230306P00405000					
2023-03-06	26.0	1,449.59	2023-03-06	1,701.29	0.00	-251.70	
PUT SPY 03/07/23	399	STANDARD & POORS DEPOSITORY   CUSIP: *8LDZWD4   Symbol: SPY---230307P00399000					
2023-03-07	1.0	97.93	2023-03-07	94.05	0.00	3.88	
CALL SPY 03/07/23	405	STANDARD & POORS DEPOSITORY   CUSIP: *8LDZWH9   Symbol: SPY---230307C00405000					
2023-03-07	1.0	151.93	2023-03-07	150.05	0.00	1.88	
PUT SPY 08/18/23	430	STANDARD & POORS DEPOSITORY   CUSIP: *8LFCCV1   Symbol: SPY---230818P00430000					
2023-06-14	1.0	585.93	2023-06-14	585.05	0.00	0.88	
2023-06-15	3.0	1,475.82	2023-06-15	1,439.15	0.00	36.67	
2023-06-16	2.0	973.88	2023-06-16	930.10	0.00	43.78	
<b>Security Totals:</b>		<b>3,035.63</b>		<b>2,954.30</b>		<b>81.33</b>	
PUT SPY 08/18/23	435	STANDARD & POORS DEPOSITORY   CUSIP: *8LFCGM3   Symbol: SPY---230818P00435000					
2023-08-18	10.0	249.46	2023-08-18	230.50	0.00	18.96	

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**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT BABA 06/16/23	88	ALIBABA GROUP HOLDING LIMITED   CUSIP: *8LGFHS6   Symbol: BABA--230616P00088000					
2023-06-13	5.0	664.72	2023-06-13	628.25	0.00	36.47	
PUT ENPH 06/16/23	172.50	ENPHASE ENERGY INC   CUSIP: *8LGNDL4   Symbol: ENPH--230616P00172500					
2023-06-12	4.0	1,011.75	2023-06-12	1,052.20	0.00	-40.45	
CALL SPY 04/21/23	413	STANDARD & POORS DEPOSITORY   CUSIP: *8LGSFR9   Symbol: SPY---230421C00413000					
2023-04-21	70.0	2,176.38	2023-04-21	2,064.45	1.01 D	112.94	
PUT QQQ 07/26/23	377	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LGXRK6   Symbol: QQQ---230726P00377000					
2023-07-26	10.0	1,529.47	2023-07-26	1,440.49	0.00	88.98	
CALL QQQ 07/27/23	384	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LGZDX5   Symbol: QQQ---230727C00384000					
2023-07-27	40.0	1,277.90	2023-07-27	1,241.97	0.00	35.93	
PUT NVDA 06/09/23	375	NVIDIA CORPORATION   CUSIP: *8LHBQM1   Symbol: NVDA--230609P00375000					
2023-06-07	4.0	671.78	2023-06-07	744.20	0.00	-72.42	
PUT SPY 07/03/23	443	STANDARD & POORS DEPOSITORY   CUSIP: *8LHHCV4   Symbol: SPY---230703P00443000					
2023-06-30	10.0	779.46	2023-06-30	745.50	0.00	33.96	
PUT QQQ 08/31/23	378	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LKBPK3   Symbol: QQQ---230831P00378000					
2023-08-31	20.0	848.93	2023-08-31	922.03	71.03 D	-2.07	
CALL SNOW 06/16/23	192.50	SNOWFLAKE INC CLASS A   CUSIP: *8LKMNZ3   Symbol: SNOW--230616C00192500					
2023-06-16	2.0	77.88	2023-06-16	76.10	0.00	1.78	
CALL SPY 06/09/23	431	STANDARD & POORS DEPOSITORY   CUSIP: *8LLBVG8   Symbol: SPY---230609C00431000					
2023-06-09	10.0	649.47	2023-06-09	630.50	0.00	18.97	
PUT QQQ 03/08/23	297	INVESCO QQQ TRUST SERIES 1   CUSIP: *8LLDYJ6   Symbol: QQQ---230308P00297000					
2023-03-08	3.0	320.81	2023-03-08	282.15	0.00	38.66	
CALL S 03/17/23	17.50	SENTINELONE INC   CUSIP: *8LLNCQ4   Symbol: S-----230317C00017500					
2023-03-08	3.0	119.83	2023-03-08	105.15	0.00	14.68	
PUT SPY 03/02/23	392	STANDARD & POORS DEPOSITORY   CUSIP: *8LLXLY3   Symbol: SPY---230302P00392000					
2023-03-02	1.0	81.93	2023-03-02	100.05	0.00	-18.12	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
CALL SPY 03/02/23	393	STANDARD & POORS DEPOSITORY   CUSIP: *8LLXLY4   Symbol: SPY---230302C00393000					
2023-03-02	5.0	569.73	2023-03-02	560.25	0.00	9.48	
PUT SPY 03/02/23	393	STANDARD & POORS DEPOSITORY   CUSIP: *8LLXLZ9   Symbol: SPY---230302P00393000					
2023-03-02	8.0	509.52	2023-03-02	474.40	0.00	35.12	
PUT SPY 03/02/23	394	STANDARD & POORS DEPOSITORY   CUSIP: *8LLXMN7   Symbol: SPY---230302P00394000					
2023-03-02	6.0	467.66	2023-03-02	432.30	0.00	35.36	
PUT SPY 03/08/23	397	STANDARD & POORS DEPOSITORY   CUSIP: *8LMLWX9   Symbol: SPY---230308P00397000					
2023-03-08	1.0	85.93	2023-03-08	84.05	0.00	1.88	
PUT SPY 03/08/23	398	STANDARD & POORS DEPOSITORY   CUSIP: *8LMLXZ5   Symbol: SPY---230308P00398000					
2023-03-08	6.0	769.65	2023-03-08	703.30	0.00	66.35	
CALL SPY 03/08/23	399	STANDARD & POORS DEPOSITORY   CUSIP: *8LMLXZ8   Symbol: SPY---230308C00399000					
2023-03-08	7.0	397.59	2023-03-08	422.58	32.23 D	7.24	
PUT WMT 05/19/23	130	WALMART INC   CUSIP: *8LNTWB3   Symbol: WMT---230519P00130000					
2023-03-24	3.0	464.83	2023-03-24	452.15	0.00	12.68	
CALL SPY 03/17/23	395	STANDARD & POORS DEPOSITORY   CUSIP: *8LRZFB6   Symbol: SPY---230317C00395000					
2023-03-17	17.0	1,055.05	2023-03-17	1,319.85	0.00	-264.80	
PUT SPY 03/09/23	396	STANDARD & POORS DEPOSITORY   CUSIP: *8LTZY5   Symbol: SPY---230309P00396000					
2023-03-08	10.0	449.47	2023-03-08	595.50	0.00	-146.03	
PUT SPY 04/06/23	406	STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYS2   Symbol: SPY---230406P00406000					
2023-04-05	25.0	2,393.68	2023-04-05	2,136.24	0.00	257.44	
2023-04-06	1.0	108.93	2023-04-06	102.05	0.00	6.88	
<b>Security Totals:</b>		<b>2,502.61</b>		<b>2,238.29</b>		<b>264.32</b>	
CALL SPY 04/06/23	407	STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYS4   Symbol: SPY---230406C00407000					
2023-04-06	10.0	649.48	2023-04-06	620.49	0.00	28.99	
PUT SPY 04/06/23	407	STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYS6   Symbol: SPY---230406P00407000					
2023-04-06	5.0	319.73	2023-04-06	370.25	0.00	-50.52	

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Apex Clearing

**Proceeds from Broker and Barter Exchange Transactions 2023 Form 1099-B\***

5MU73363

(continued)

2024-01-31

OMB No. 1545-0715

**SHORT-TERM TRANSACTIONS FOR COVERED TAX LOTS**

Report on Form 8949, Part I with Box A checked.

**Box 2:** Type of Gain or Loss - Short-term (unless indicated as Ordinary in Additional Notes Column)**Box 5:** Box Not Checked (Covered Security)**Box 6:** Gross (unless indicated as Net in Additional Notes Column)**Box 12:** Basis Reported to the IRS**1a - Description of property | CUSIP | Symbol**

<b>1c - Date Sold or Disposed</b>	<b>Quantity</b>	<b>1d - Proceeds</b>	<b>1b - Date Acquired</b>	<b>1e - Cost or Other Basis</b>	<b>1f - Accrued Market Discount (M) &amp; 1g - Wash Sale Loss Disallowed (D)</b>	<b>Gain or Loss (-)</b>	<b>Additional Notes</b>
PUT SPY 04/06/23 408 STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYV8   Symbol: SPY---230406P00408000							
2023-04-06	5.0	184.73	2023-04-06	180.25	0.00	4.48	
PUT SPY 04/06/23 409 STANDARD & POORS DEPOSITORY   CUSIP: *8LTZYX2   Symbol: SPY---230406P00409000							
2023-04-06	5.0	309.73	2023-04-06	305.25	0.00	4.48	
CALL QQQ 09/11/23 375 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVLHT2   Symbol: QQQ---230911C00375000							
2023-09-11	10.0	539.47	2023-09-11	500.50	0.00	38.97	
CALL QQQ 03/29/23 312 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVLKT1   Symbol: QQQ---230329C00312000							
2023-03-29	5.0	434.73	2023-03-29	385.25	0.00	49.48	
PUT QQQ 09/13/23 373 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVWYM7   Symbol: QQQ---230913P00373000							
2023-09-13	10.0	829.47	2023-09-13	730.50	0.00	98.97	
CALL QQQ 09/13/23 374 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVWZF9   Symbol: QQQ---230913C00374000							
2023-09-12	9.0	1,124.49	2023-09-12	1,124.45	0.00	0.04	
CALL QQQ 09/13/23 375 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVXCF9   Symbol: QQQ---230913C00375000							
2023-09-13	10.0	679.47	2023-09-13	680.50	0.00	-1.03	
CALL QQQ 03/13/23 287 INVESCO QQQ TRUST SERIES 1   CUSIP: *8LVZNG9   Symbol: QQQ---230313C00287000							
2023-03-13	3.0	537.81	2023-03-13	483.15	0.00	54.66	
PUT SPY 03/14/23 390 STANDARD & POORS DEPOSITORY   CUSIP: *8LVZTD8   Symbol: SPY---230314P00390000							
2023-03-14	2.0	273.88	2023-03-14	234.10	0.00	39.78	
CALL SPY 03/15/23 388 STANDARD & POORS DEPOSITORY   CUSIP: *8LWHJV0   Symbol: SPY---230315C00388000							
2023-03-15	3.0	365.83	2023-03-15	309.15	0.00	56.68	
CALL SPY 03/15/23 391 STANDARD & POORS DEPOSITORY   CUSIP: *8LWHKW9   Symbol: SPY---230315C00391000							
2023-03-14	1.0	207.93	2023-03-14	190.05	0.00	17.88	
PUT SPY 09/13/23 446 STANDARD & POORS DEPOSITORY   CUSIP: *8LWZKB8   Symbol: SPY---230913P00446000							
2023-09-13	10.0	259.44	2023-09-13	230.50	0.00	28.94	
PUT SPY 09/13/23 447 STANDARD & POORS DEPOSITORY   CUSIP: *8LWZPX2   Symbol: SPY---230913P00447000							
2023-09-13	10.0	579.45	2023-09-13	560.50	0.00	18.95	

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